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RECALLING LIBRARIANS AND CAREERS IN *academia:*

Co-Editors:
Libing Wang and Wesley Teter

professional
advancement
policies *and*
practices *in*
asia-pacific

Education
2030 



United Nations
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Asia-Pacific
ERI-NET



Education Research Institutes Network

Recalibrating Careers in Academia:

Professional Advancement Policies and Practices in Asia-Pacific

Co-Editors: Libing Wang and Wesley Teter

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FOREWORD

TEACHERS ARE at the centre of quality higher education systems. Yet too often we do not measure effective teaching in higher education – we measure contact hours and content delivery. Similarly, performance metrics and university rankings are often based on faculty research outputs such as journal publications and research grants. While research productivity is critically important to quality higher education, any narrow conceptions of quality do not represent the range of knowledge, skills and competencies required of faculty today. From global climate change to sustainable development, the challenges we face are deeply interconnected and require a reinvigorated debate about the future role of the academic profession – one that effectively balances quality teaching, research and service. Each of these three pillars is fundamental to the academic profession and to addressing our complex global challenges.

In September 2015, the international community launched the 17 Sustainable Development Goals. Goal four is known as Education 2030, which aims to *ensure inclusive and equitable quality education and promote lifelong learning opportunities for all*. This includes equitable and increased access to quality higher education. To reach this goal and its corresponding targets, we need everyone to be involved, including our most talented and passionate higher education teaching personnel.

Education 2030 recognizes that we need sufficient numbers of high quality teachers using learner-centred, active and collaborative pedagogical approaches. To meet this need, we must first explore how to effectively train, hire and promote the next generation of scholars. These goals are central to UNESCO's mission, including its norms

and standards, such as the *1997 Recommendation Concerning the Status of Higher Education Teaching Personnel*. The 1997 Recommendation is the international standard for higher education systems worldwide to ensure teaching personnel have the appropriate status and professional development opportunities they deserve.

To explore these issues and how the 1997 Recommendation is being implemented in Asia and the Pacific, UNESCO Bangkok convened experts over the course of two years to collect and review case studies on the status of higher education teaching personnel in public research-intensive universities. The participating experts were part of UNESCO Bangkok's Education Research Institutes Network (ERI-Net). Founded in 2009, ERI-Net is UNESCO Bangkok's forum for researchers and national education think tanks to address timely issues and share their expertise with UNESCO, the Asia-Pacific community, and beyond.

With a focus on professional advancement policies and practices in Asia-Pacific, UNESCO Bangkok and ERI-Net's aim was to collect promising practices and assess emerging challenges on how higher education teaching personnel are recruited, evaluated and promoted in the region. Each of these issues has tremendous implications for how we measure progress towards Education 2030 and promote quality teaching more generally.

The resulting case studies include important issues that are fundamental to UNESCO's mandate, including to promote gender equality. The 1997 Recommendation and UNESCO as a whole are committed to ensure gender equality, such as equal opportunity and treatment of women as higher education teaching personnel. Together, the ERI-Net case studies extend beyond gender and also address concerns of teaching personnel with disabilities as well as the fair treatment of part-time staff and other potentially vulnerable people.

UNESCO Bangkok would like to thank the National Higher Education Research Institute (IPPTN), Universiti Sains Malaysia for hosting the first ERI-Net expert meeting on academic promotion in May 2014. This meeting was followed by the second ERI-Net expert meeting on the topic in November, which was generously hosted by the College of Education at Zhejiang University in Hangzhou, China. UNESCO Bangkok is grateful to the hosts and authors for their support, persistence and thoughtful contributions to this review.

Given the scale of this challenge, ERI-Net experts contributing to this collection took invaluable steps to help assess professional advancement policies and practices of higher education teaching personnel in Asia and the Pacific. Going forward, we hope this research effort contributes to a robust debate within the region about the future of the teaching profession in higher education and the critical importance of effective teaching, research, and service in addressing the world's most pressing and interconnected development challenges. UNESCO Bangkok will join you on this journey to promote quality education.

A handwritten signature in black ink, reading "Gwang-Jo Kim". The signature is fluid and cursive, with the first letter of "G" being particularly large and stylized.

Gwang-Jo Kim
Director
UNESCO Bangkok

SYNTHESIS REPORT:

CASE STUDIES ON PROFESSIONAL ADVANCEMENT POLICIES AND PRACTICES IN HIGHER EDUCATION IN ASIA-PACIFIC

**Libing Wang
Wesley Teter**

UNESCO Asia-Pacific Regional Bureau for Education

FOR MORE than two decades, the Asia and Pacific region has benefited from unprecedented economic growth, bringing more people out of poverty faster than any other region or time in history.¹ Sound policies and increasing access to higher education have helped to develop a foundation for continuous economic growth. However, mass enrolment in higher education and the diversification of institutions have also contributed to sharp distinctions in the quality of education and have challenged the status of higher education teaching personnel, including individuals engaged to teach, undertake research, or provide educational services in a higher education institution or programme. The critical importance of these issues was recognized during the 2009 World Conference on Higher Education.² As the only United Nations agency with a mandate in higher education, the World Conference called on UNESCO to enhance the attractiveness of academic careers and ensure adequate working conditions in line with international standards.

In particular, UNESCO, within its five functions as a laboratory of ideas, catalyst for international cooperation, standard-setter, capacity-builder, and clearinghouse should help Member States address the professional status of higher education teaching personnel. For nearly twenty years, the 1997 UNESCO Recommendation Concerning the Status of Higher Education Teaching Personnel (1997 Recommendation) has served as a policy framework to safeguard the rights and freedoms, duties and responsibilities, as well as the terms and conditions of employment, for higher education teaching personnel, including recruitment, appraisal and promotion. Above all, the 1997 Recommendation highlights the decisive role of teaching personnel in the advancement of society.

Through its standards-setting instruments, such as the 1997 Recommendation (see Appendix), UNESCO recognizes that a fair and open system of professional advancement policies and practices is essential to quality higher education and sustainable development. In November 2015, the UNESCO General Conference further elaborated on this recommendation through the endorsement of the Sustainable

¹ Packard, T. G. and Van Nguyen, T. 2014. *East Asia Pacific at Work: Employment, Enterprise, and Well-being*. World Bank: Washington, DC.

² UNESCO. 2009. *Communiqué - The New Dynamics of Higher Education and Research for Societal Change and Development*. The 2009 World Conference on Higher Education, Paris.

Development Goals and the Education 2030 Framework for Action. Education 2030 calls for quality education including teacher policies and regulations to ensure that teaching personnel are empowered, fairly recruited and compensated, well trained, professionally qualified, motivated, equitably and efficiently distributed across the whole education system, and supported with well-resourced and effectively governed education systems.

Quality higher education also requires systems for managing teachers, governance, accountability mechanisms and strong public financial management. A fair and transparent education system of professional advancement policies and practices is recognized as a hallmark of good governance. Along these lines, the 1997 Recommendation states that:

“Higher education teaching personnel should enjoy: a just and open system of career development including fair procedures for appointment, tenure where applicable, promotion, dismissal, and other related matters; and an effective, fair and just system of labour relations within the institution, consistent with the international standards.”

UNESCO Recommendation concerning the Status of Higher Education Teaching Personnel (adopted 11 November 1997)

These concerns are relevant to the more established higher education systems as well as to the emerging systems. For example, significant inequalities within the Asia-Pacific region can undermine regional cooperation and the advancement of science, technology, education and culture. Such inequalities can contribute to flows of talented staff and students from the less well-endowed systems to those with more resources. While widely recognized as important, the professional status and accountability of higher education teaching personnel, including recruitment, appraisal, and promotion have yet to receive significant attention in terms of research and analysis within the Asia-Pacific region.

At UNESCO Bangkok’s 2013 Annual Meeting of the Education Research Institutes Network (ERI-Net) held from 17-19 October in Bangkok, Thailand, ERI-Net members agreed to address the issue by focusing on professional advancement policies and practices of higher education teaching personnel. After development of a joint research framework during an ERI-Net meeting in Penang, Malaysia the following May, eleven case studies were presented at the ERI-Net Annual

Meeting in Hangzhou, China from 26-28 November 2014. Together, the case studies represent the culmination of ERI-Net's research to date.

In the following section, it will be helpful to first discuss the research design for the case studies on recruitment, appraisal and promotion policies and practices in Asia and the Pacific. This includes the primary research questions. The second section explores the policy context of academic promotion in Asia-Pacific. This overview sets the context to describe academic hierarchies and criteria for advancement, which are elaborated in each of the individual case studies. The fourth section discusses the procedures for academic promotion, including how policies are operationalized in each higher education system. While still preliminary, the final section identifies key lessons learned and opportunities for further research. To begin, the next section outlines the research design and overarching research questions guiding this review.

I. Research design

Facing the need to reshape higher education to meet rapidly evolving social and economic challenges, ERI-Net researchers focused their case studies on professional advancement policies and practices, including how academic staff are evaluated and promoted. ERI-Net researchers reviewed policies and practices from the following eleven countries/regions: Australia, Cambodia, China³, Hong Kong Special Administrative Region (China), Indonesia, Japan, Malaysia, Philippines, Republic of Korea, Sri Lanka, and Thailand.

In consultation with the ERI-Net Secretariat at UNESCO Bangkok, researchers agreed on a common research framework (see Appendix). The goals of this effort were to document issues and raise awareness of the 1997 Recommendation, collect and analyse innovative policies, and develop a technical document on academic career development to benefit all Member States in Asia-Pacific. In addition, undertaking a study on the status of academic personnel can stimulate awareness of their fundamental role in higher education.

In the context of this review, higher education teaching personnel includes:

³ The case study for China was presented but not finalized.

“those persons in institutions or programmes of higher education who are engaged to teach and/or to undertake scholarship and/or to undertake research and/or to provide educational services to students or to the community at large.”

- 1997 Recommendation

Given the wide ranging diversity of institutions within Asia-Pacific, ERI-Net researchers focused their case studies primarily on teaching personnel at public research-intensive higher education institutions. However, the reviews vary in terms of breadth and depth. To ensure the case studies reflect national-level priorities, researchers were given significant flexibility to determine how many institutions would be assessed as well as appropriate investigative approaches (e.g. the case study from Thailand involved faculty interviews as well as document analysis). Given the preliminary nature of this study, the related challenges and opportunities in each case study reflect different types of higher education systems throughout the region.

Based on the research framework, the case studies explore academic promotion in four main areas:

- i. Policy context;
- ii. Academic hierarchy and criteria for promotion;
- iii. Procedures for evaluation and promotion;
- iv. Implications and lessons learned.

To better understand how policy makers and institutional leaders operationalize academic promotion policies and the 1997 Recommendation, ERI-Net researchers used the key areas above to develop four research questions. Given the diversity of the Asia-Pacific region, each case study is unique but guided by the following overarching questions.

1. Policy context in Asia-Pacific: How do governments and higher education stakeholders operationalize academic promotion? This question aims to explore the current policy context, level of centralization, and the relationship with academic promotion practices. Related factors include:
 - a. Institutional and national policies that govern academic promotion (i.e. exploring policy goals related to institutional autonomy and decentralization);

- b. How policy impacts teaching staff morale, behaviour, and campus culture;
 - c. Any major confounding issues related to academic promotion, including dimensions from the 1997 Recommendation such as: status and working conditions; individual rights and freedoms; terms and conditions of employment; terms and conditions of employment of women, disabled, and part-time higher education teaching personnel; negotiation of terms and conditions of employment; and security of employment; and
 - d. Managerial considerations cited in the 1997 Recommendation including: appraisal, professionalism, accountability, discipline, and dismissal.
2. Criteria for advancement: What are the structures and criteria for academic promotion in public research-intensive universities? According to the 1997 Recommendation, higher education institutions should ensure that performance evaluations are based only on academic criteria of competence in research, teaching, and other academic or professional duties as interpreted by academic peers. Related research areas include:
- a. Description of the academic hierarchy and related requirements for each level;
 - b. Developing a list of criteria used for performance evaluation and academic promotion;
 - c. How do promotion criteria impact professional performance and the ability of institutions to achieve their stated mission?
3. Procedures: How are promotion decisions made? Fair procedures for assessing academic personnel are central to teaching, learning, and the research process. As such, higher education institutions should ensure that performance evaluation procedures and academic promotion practices are based on fair criteria and a just and open system of career development. What are the specific procedures and who is engaged in the decision-making process?
4. Implications: What are the key obstacles and lessons learned related to professional advancement policies and practices? Trends such as massification and the internationalization of higher

education have significantly impacted traditional roles and tasks of higher education teaching personnel. Going forward, what are the emerging trends and needs related to academic promotion in higher education?

Building on these core questions, the ERI-Net research group can contribute to the goal of deepening a shared understanding of quality education in the Asia and Pacific region (i.e. Education 2030) at a time when the academic profession is confronting new challenges in shaping universities for the twenty-first century. The following section explores the underlying policy context from the perspective of government and higher education stakeholders.

II. Exploring the policy context of academic promotion in Asia-Pacific

Based on research question one, initial findings from the ERI-Net case studies highlight several common challenges related to academic promotion policies in Asia and the Pacific. Such challenges include creating appropriate incentives and an accountability system that effectively harnesses the energy of faculty members based on appropriate national and institutional level goals. The 1997 Recommendation recognizes the diversity of administrative arrangements that apply to higher education teaching personnel, including whether the regulations of civil service apply to them.

Regardless of the administrative context, teaching personnel constitute an exceptionally valuable cultural and scientific asset that deserves fair and transparent criteria for career advancement. This sentiment was captured well by ERI-Net researcher, Dr. Martin Hayden from Southern Cross University in Australia who agreed that academic promotion policies should reflect teaching personnel as “culturally valued and well regarded.” This hope is a fundamental value expressed in the 1997 Recommendation and explored throughout the ERI-Net case studies.

In this regard, the case studies present a diverse region yet common challenge with regards to effectively balancing research, teaching, and service, the core functions of research-intensive universities. The case studies highlight the range of approaches to the management and status of teaching personnel, from civil service status in countries such as Cambodia, Malaysia, and Indonesia (with Thailand having a so-called ‘two-tier system’ with both government officials and university employees

as teaching personnel) to the highly autonomous management approaches in Hong Kong SAR, China and Australia. Overall, the cases provide different perspectives on how governments and higher education stakeholders approach the issue of academic promotion.

For example, because universities in Australia manage their own academic staff policies, there is no centralized standard for making academic promotion decisions. However, several core principles are widely shared among peer institutions which contribute to a decentralized yet nationally coherent system for academic promotion policies. Meanwhile, Malaysian academics employed in public universities are considered public civil servants and therefore are bound by the rules and regulations of the civil service.

In Cambodia, public teaching personnel are also civil servants. According to the government's current strategic plan for education (2014-2018), teaching personnel play not only a critical role in response to increasing access, but are also central to ensuring the quality of higher education overall. The modern development of higher education in Cambodia is relatively recent and uneven compared to other countries, even within South-East Asia, so the current review of academic promotion policy is well-timed.

In Indonesia, an academic is a professional educator and scientist with the main task of transforming, generating, and disseminating scientific knowledge and technology through education, research, and community service. Academic promotion therefore takes into account his or her performance both as a civil servant and as a member of the university community.

Strategies to enhance competitiveness

Throughout the Asia-Pacific region, policies regulating academic promotion tend to focus on research productivity. In practice, this include incentivizing publications in “high impact” journals and prestigious funding opportunities. While this may seem most appropriate for a research-intensive university, the emphasis on research productivity is also used as a measure of overall institutional quality and part of a drive to compete in international rankings.

For example, some countries have developed detailed strategies to improve their higher education systems in order to transform flagship institutions into “world class universities”. In Sri Lanka, for example,

academic appointments should be sufficiently rigorous to command respect of the students and of their peers – nationally and internationally – thereby enhancing the image and profile of the university. In the Republic of Korea and elsewhere in the region, some universities offer high bonuses for a paper published in renowned international journals, thereby incentivizing a specific type of research output. The individual case studies explore the implications of this sometimes narrow view of quality.

Briefly, some ERI-Net researchers noted that an intense focus on research productivity and its link to academic promotion arose from the emergence of international rankings of universities, which among other dimensions emphasize research output. Key drivers such as international rankings, while outside the scope of this review, can adversely impact academic life, especially for part-time faculty who may be more vulnerable.

Status of part-time faculty

In some higher education systems, part-time faculty are reported to have an unequal status and face greater pressure to perform. For example, in the Republic of Korea, the ERI-Net case study highlights a discrepancy between part-time and full-time faculty members in terms of their status and treatment. Similarly in the Philippines, as reported, if faculty are untenured, they face the prospect of unemployment if they do not publish within a defined period of time (e.g. five years).

The 1997 Recommendation, as a policy tool to enhance the status of higher education teaching personnel, addresses some of these concerns, including the employment conditions of part-time faculty. It states that:

“Higher education teaching personnel employed regularly on a part-time basis should: (a) receive proportionately the same remuneration as higher education teaching personnel employed on a full-time basis and enjoy equivalent basic conditions of employment; (b) benefit from conditions equivalent to those of higher-education teaching personnel employed on a full-time basis...”

- 1997 Recommendation

To further explore how these issues are operationalized, the following section highlights the academic hierarchies and specific criteria used for career advancement in Asia-Pacific.

III. Academic hierarchies and criteria for advancement

In terms of academic hierarchy, no standard structure exists either in the 1997 Recommendation or across the Asia-Pacific region (Table 1). While diverse, the titles of assistant professor, associate professor and professor are common throughout most of the research-intensive public universities assessed in the case studies.

Another common link that many researchers reported is a shift from strong teaching to strong research and innovation-based criteria as faculty progress towards becoming a full professor. For example, in the case in India different weights for teaching, research and service are associated with different stages – again with an increasing emphasis on research based on academic rank.

Table 1: Overview of academic hierarchies in Asia-Pacific*

Country/region	Common academic hierarchies at public research-intensive universities
Australia	associate lecturer, lecturer, senior lecturer, associate professor, professor
Cambodia	assistant professor, associate professor, professor
China	assistant teacher, lecturer, associate professor, professor
Hong Kong SAR	assistant professor, associate professor, professor, chair professor
India	tutors/demonstrators, lecturers, senior lecturers, readers, professors, high academic grade professors (Stage 6)
Indonesia	assistant lecturer, lecturer, senior lecturer, professor
Malaysia	lecturer, senior lecturer, associate professor, professor
Philippines	instructor, assistant professor, associate professor, professor
Republic of Korea	instructor, assistant professor, associate professor, professor
Sri Lanka	lecturer, senior lecturer (grades 11, 1, and 11/1), associate professor, professor, senior professor
Thailand	assistant lecturer, lecturer, assistant professor, associate professor, professor, (professor of highest level, formerly known as Sor. 11)

* While not an exhaustive list, this table summarises academic hierarchies reported in the case studies on public research-intensive universities.

Performance evaluation criteria

In terms of performance evaluation criteria, higher education institutions should ensure that performance evaluations for teaching personnel are based only on academic criteria or professional duties as interpreted by academic peers (see next section for an overview of performance evaluation procedures). While not standardized, such performance evaluation criteria typically include:

- individual performance in research;
- teaching load and supervision;
- contribution to institutional administration;
- social service.

For example, in Thailand, evaluation criteria are based on academic criteria covering the assessment of teaching and research performance. With regards to teaching assessment, some universities draw on a more detailed assessment of teaching than was evident in other cases. The measures for teaching include examples such as: the ability to stimulate thinking, synthesising and critical thinking skills, or the ability to develop and improve existing teaching plans. The criteria were assessed as part of four primary measures including number of teaching hours per academic year, the quality of classroom teaching, the quality of teaching materials or written supplements, and the quality of academic outputs. But, how to actually measure these outcomes in a transparent and consistent manner is less clear.

In Malaysia, teaching and learning often include additional objective measures such as: number of courses taught, number of credits for the courses, number of students per course, academic advising, other academic workloads, undergraduate student supervisory and curriculum, and innovation in course delivery.

Meanwhile, assessment criteria across much of Japan's universities appear quite thorough, yet studies have found that such frameworks are not widely utilized in the decision-making process (see case study on Japan). This apparent lack of implementation can lead to professional stagnation or inertia, whereby faculty are promoted primarily on the basis of seniority rather than academic merit alone.

In Sri Lanka, promotion to the posts of associate professor and professor were amended in the late 1990's to ensure a balanced contribution between: teaching and academic development; research, scholarship and creative work, and dissemination of knowledge and contribution to institutional, regional, national and international development. Such criteria can significantly impact academic life on campus. They are also quite thorough and challenging to assess.

In the Republic of Korea, criteria for performance-based funding programmes also impact teaching personnel, including criteria to assess the number of publications by faculty members, adding weight to papers published in international journals, and increasing the proportion of courses taught in English. Criteria more specifically related to academic promotion include: higher weight to papers published in international journals (e.g. Science Citation Index (SCI) journals) compared to national publications; the proportion of courses taught in English; and measures of industry and university cooperation. As will be explained in the following section, such criteria can have a significant influence on domestic research needs as well as funding for university systems as a whole.

Overall, in the case studies collected, evaluation criteria reflected an underlying concern for fairness (e.g. an impartial merit-rating system) and drive to enhance academic staff performance. However, as reflected in the context of each case study, implementation remains a challenge. Researchers cited burdensome self-evaluation reports, ineffective measures for teaching performance, and other concerns related to how promotion decisions are made.

IV. Procedures: How promotion decisions are made

Academic promotion is recognition of the faculty members' accomplishments, growth, and development as a teacher, scholar, and his or her service in support of the university's mission. Typical evaluation procedures involve self-assessment, input from a faculty council, external peer review, and final approval from institutional leadership. Based on the 1997 Recommendation (Section C.47 on Appraisal), performance evaluation procedures should include:

- evaluation based only on academic criteria of competence in research, teaching and other academic or professional duties as interpreted by academic peers;

- evaluation procedures take due account of the difficulty inherent in measuring personal capacity, which seldom manifests itself in a constant and unfluctuating manner;
- evaluation that involves any kind of direct assessment of the work of higher education teaching personnel, by students and/or fellow colleagues and/or administrators, such assessment is objective and the criteria and the results are made known to the individual(s) concerned;
- results of appraisal of higher education teaching personnel are also taken into account when establishing the staffing of the institution and considering renewal of employment; and
- higher education teaching personnel have the right to appeal to an impartial body against assessments which they deem to be unjustified.

For example, in the case of Malaysia, a candidate for promotion will complete the required forms, provide all supporting documents and submit a scoring sheet to check the eligibility to apply for academic promotion. The application will be screened by the dean and a designated faculty committee. Once the initial review is complete, the application will be sent to an external assessor for evaluation and comment before a final decision is taken by the university board. Similarly in China, many universities have organized academic review committees and have collaborated with external experts for peer review in order to achieve a justifiable result. One question this raises is the role or relative importance of external performance evaluations during the performance review process, an issue that was not reviewed in detail and could be explored in future research (see next section).

In general, throughout the performance review process, the demand for evidence imposes a heavy workload on applicants seeking promotion. In Australia, not only do applicants need to provide details of the quality and impact of their research, but they must also document their achievements in teaching, including student and peer feedback, and they must also demonstrate how they have served the university, whether through administrative leadership or more broadly. While many case studies reported a merit-based process, several highlighted instances of promotion based primarily on seniority, where there is little doubt who will be promoted and when.

The 1997 Recommendation highlights that higher education institutions should endeavour to open their governance systems in order to be accountable. In the interest of quality and excellence, institutions should ensure that faculty are treated fairly and justly, and without discrimination. Values such as academic freedom and fundamental human rights can be highlighted by implementing policies and procedures that ensure the equitable treatment of women and minorities and by eliminating sexual and racial harassment. The goal of such measures is to ensure that higher education personnel are not impeded in their work in the classroom or in their research capacity by violence, intimidation or harassment. Some case studies reflect concerns of gender bias in the application process and even instances of harassment, which highlights an ongoing need to consider the interests and priorities of both women and men throughout the recruitment, assessment and appeal process. Where possible, case studies provided sex-disaggregated data and statistics.

Anecdotal evidence suggests that the right to appeal promotion decisions is largely in place, although delays are a significant concern in some systems. These policies and appeal mechanisms are central to the effective governance of higher education institutions. The related implications of promotion policies are explored further in the following concluding section.

IV. Implications and lessons learned

The case studies submitted by ERI-Net researchers document the rich diversity of academic promotion policies and criteria across Asia-Pacific. While not representative of the wide range of higher education institutions in the region, there are a number of important implications and lessons learned that are reflected in the case studies that follow.

Intense focus on research productivity

First, there is intense focus on research productivity, sometimes at the expense of teaching and service. In the context of research-intensive universities, the importance of teaching performance may be undervalued in the academic promotion process. By drawing on lessons learned from institutions and systems throughout the region, new and effective measures for evaluating teaching performance can be honed and shared. Several of the ERI-Net case studies outline ways of ensuring that teaching and learning is actively connected to research

– the goal being to continuously strive towards enhancing the quality and relevance of university education overall.

In addition, some academic promotion policies in the Asia-Pacific region may be unintentionally encouraging short-term research. Along these lines, pressure to publish may be linked to lower quality research outputs (i.e. quantity vs. quality) and an aversion to longer-term research efforts, which may not lead to immediate publications or research outputs. The implications of incentivizing “recognized international research journals” can also have long-term implications for domestic-level research needs and priorities. Emphasis on international (i.e. English-language publications) and high impact journals may limit incentives and rewards for domestic research, which raises questions about the role and function of regional research institutions.

Need to strengthen the link between governance and academic promotion strategies

As is evident in the case studies presented, defining excellence and relevant criteria for academic promotion are key policy challenges for the future of higher education systems in the region. Effective communication of evaluation mechanisms between faculty and administrators may contribute to open governance practices and the long-term development of higher education in the Asia-Pacific region.

Going forward, there are emerging opportunities to strengthen the link between higher education governance and academic career advancement mechanisms. This perspective is central to the 1997 Recommendation and efforts to create a just and open system of career development, including fair procedures for appointment, tenure where applicable, promotion, dismissal, and related matters. Such policies recognize teaching in higher education as a profession and form of public service that requires expert knowledge and specialized skills acquired and maintained through lifelong research and development

Future research is needed to monitor application of the 1997 Recommendation

The case studies that follow captured an initial yet incomplete picture of the 1997 Recommendation in practice. While effective academic promotion policies and procedures are central to quality higher education, there are many more dimensions to the status of higher

education teaching personnel that are not included in this review, such as preparation for the profession, individual rights and freedoms including academic freedom, publication rights, and the international exchange of information, as well as the role of external peer review in performance evaluations.

While continuing to monitor the full application of the 1997 Recommendation and new frameworks for action such as Education 2030, UNESCO Bangkok will take stock of existing policies and mechanisms so that a more complete picture can be consolidated at the regional level to assist all Member States in Asia-Pacific. Going forward, policy makers, university administrators and the research community can play a central role in developing and monitoring effective recruitment, appraisal and academic promotion practices based on the 1997 Recommendation and other internationally agreed standards.

Based on the ERI-Net research to date, defining excellence and relevant criteria for the professional advancement of teaching personnel is central to the development and sustainability of quality higher education.



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ACADEMIC STAFF PROMOTION IN AUSTRALIA:

CHARACTERISTICS AND CONCERNS

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IN AUSTRALIA, each university approves its own academic staff promotion policies and procedures. There is, therefore, the opportunity for a great deal of institutional variation. What happens, though, is that each university tries to follow the same policies and procedures as each of the others, and so the actual extent of difference between them is relatively small. A national approach to academic staff promotion may, therefore, be assumed. This chapter documents this national approach, drawing attention also to its strengths and weaknesses.

This chapter is concerned only with Australia's public universities. There are thirty-seven public universities in Australia, and they account for about 90 per cent of all higher education enrolments. There are, in addition, three private universities, and more than 130 non-university higher education providers, nearly all of which are privately owned. The public universities all make their academic staff promotion policies and procedures readily accessible on their institutional websites, but most private institutions do not.

The chapter begins with a brief introduction to the public sector of universities in Australia. It then reports on guiding principles and national legislative frameworks that apply to academic staff promotion in the sector. An illustration of how the academic promotion process works at an institutional level is provided by means of a case study. Some strengths and weaknesses of the academic staff promotion process are then documented. The chapter concludes with a discussion of Australia's approach to academic staff promotion in the context of UNESCO's Recommendation concerning the Status of Higher Education Teaching Personnel (1997 Recommendation).

The Institutional Setting

Public universities in Australia function within a legal framework that enables them to exercise a relatively high level of institutional autonomy. Though owned by the state, they function entirely as independent corporate entities, each with its own governing board, usually referred to as the university council. A university council may have up to twenty-two members, the majority of whom must be external to the university. Its membership is expected to be broadly representative of the range of community stakeholder interests in a university, and it is solely responsible for setting the direction and priorities of the university. Importantly, it also appoints the university's chief executive

officer, known as the vice-chancellor. To manage the academic affairs of the university, it establishes an academic board, a peak committee of academic staff members from across the university that exercises responsibility on behalf of the university council for approving, implementing and evaluating the institution's academic programs. Unless there are particular reasons for not doing so, the university council, by convention, leaves decision-making about academic matters completely in the hands of the academic board.

Public universities in Australia are individually responsible for appointing their own members of staff. This characteristic needs emphasis here, because, unlike the situation in many other public higher education systems in Asia, employees of public universities in Australia are not civil servants. The terms and conditions of their employment are negotiated within a framework of institutional 'enterprise agreements'. An enterprise agreement is a legal contract between a university and its employees that specifies both the expectations of the university as an employer and the entitlements of its members of staff as employees. In the negotiation of institutional enterprise agreements, a national union, the National Tertiary Education Union (NTEU), represents members of academic staff, and a national employer association, the Australian Higher Education Industrial Association (AHEIA), represents university management. Enterprise agreements vary from one university to another, but there is generally a high level of consistency between them. One important reason for the consistency is that public universities in Australia are intensely competitive in seeking to attract the best academic staff members, which means that no individual university can risk offering terms and conditions of employment that are inferior to those offered by any other university.

The opportunity to apply for promotion is widely assumed to be a basic entitlement of academic staff members employed by public universities in Australia. Indeed, it is so widely accepted as an entitlement that it is often not referred to in institutional enterprise agreements. Where it is referred to in these agreements, the usual practice is simply to prescribe that academic staff members will have access to opportunities for internal promotion and may apply for internal promotion once they have served the university at their current appointment level for a minimum qualifying period (usually two years).

There are five appointment levels at Australian universities, and the national distribution of academic staff across these levels is as follows:

associate lecturer (17 percent), lecturer (33 percent), senior lecturer (23 percent), and associate professor/professor (27 percent).⁴ Most new members of academic staff are appointed as associate lecturers or, if they have a PhD qualification, as lecturers. They then usually consider applying for promotion to the next higher appointment level once they have reached the top of the incremental salary steps for their current appointment level. For associate lecturers, there are eight incremental steps, and for both lecturers and senior lecturers there are six steps. For associate professors, there are four steps. Annual advancement for one incremental step to another is more or less automatic, unless a staff member's performance, as assessed by means of an annual performance management and developmental review process, is poor.

The annual salary rates for academic positions vary marginally between universities, with the better-established universities generally offering slightly higher rates, especially at the professorial levels. In general, the starting annual salary for an associate lecturer is about AUD\$65,000 (USD\$55,000), and the annual salary for a professor is about AUD\$170,000 (USD\$140,000). Beyond the senior lecturer level, appointments are more likely to be made on the basis of open advertisement than by means of internal promotion, but the opportunity for advancement through internal promotion to the associate professor and professor appointment levels is available across all public universities.

Another feature of the Australian higher education system that sets it apart to an extent from many systems in the Asian region is the relatively high level of mobility of academic staff members between universities. There is a widely shared view across the system that it is easier to gain advancement to a higher academic appointment level by applying for a more senior position at another university than it is to gain advancement through an institution's internal promotion process. It is, therefore, not unusual for academic staff members in Australia to move from university to university in order to advance their careers.

⁴ The official figures refer only to appointments above the senior lecturer level. From other sources, it is estimated that about 15 percent of academic staff are associate professors, and about 12 percent are professors.

Principles Underpinning Academic Staff Promotion

Public universities in Australia commonly subscribe to certain principles that underpin their academic staff promotion processes. These principles are so well understood across the sector that any absence of reference to them in enterprise agreements is hardly ever a cause for concern.

The first principle is that academic promotion should be an institutional reward for *merit*. The notion of merit is one that relates to the quality of a staff member's achievement while in the service of a university. Miller (1987, pp. 92-93), in a book on academic promotion and tenure in the United States, distinguishes between *merit* and *worth* – the former relating to a person's record of significant past achievements and the latter relating to a person's potential for significant future achievements. In Australia's public universities, academic staff promotion is always *merit-based*, that is, it is focused on what has been achieved by a member of staff over a period of employment at the university, whereas decisions about the appointment of new academic staff members, and about the granting of tenure, are nearly always *worth-based*, that is, focused on the potential worth to the university of what a person is likely to achieve in the future.

The second principle is that the academic staff promotion process should be *evidence-based*. This expectation relates to a concern for fairness and transparency. Academic promotion panels are routinely reminded that they must only take into account the evidence of performance placed before them by an applicant for promotion, or by any referees whose judgements have been sought by either the applicant or the promotion panel. A commitment to the importance of evidence imposes a heavy workload on applicants for promotion, who must provide detailed evidence that their teaching has been effective, that their research is regularly leading to scholarly outputs that are positively regarded by their disciplinary peers, and that their service to their university, whether in the form of leadership within their university or leadership within their professional community, is distinctive.

The third principle is that the academic staff promotion process should be *equitable*, that is, that it should seek to ensure that nobody

applying for promotion will be disadvantaged for reasons related to gender, race, religion, ethnicity or disability. There is also normally an expectation that the academic staff promotion process will address sympathetically the circumstances of applicants whose careers may have been interrupted for good reason, such as childbirth and child rearing.

The fourth principle is that the academic staff promotion process should be *flexible* in taking account of the specific circumstances relating to an academic staff member's employment responsibilities. Some members of academic staff may, for example, have assumed significant management roles that reduce their capacity to be research productive. Not taking these circumstances into account would create a powerful disincentive for academic staff members to take on these kinds of institutional management responsibilities. The academic staff promotion process must also allow for an increasing incidence of specialized academic appointments, such as 'research-only' appointments. Most members of academic staff at Australian universities hold 'teaching and research' positions, that is, they are expected to engage in both teaching and research. There has, however, been a decline over recent years in the proportion of all academic staff members appointed to 'teaching and research' positions – down from 73 percent in 1996 to 62 percent in 2012, and a corresponding increase in the proportion of academic staff members appointed to 'research only' positions (up from 22 percent to 32 percent over the period from 1996 to 2012).⁵ These changes reflect a trend in Australian universities whereby employment roles are becoming more specialized, and this trend needs to be accommodated in the academic staff promotion processes of universities.

The fifth principle is that promotion should be *available* for all academic appointment levels. Expectations associated with each academic appointment level, from associate lecturer through to professor, are documented in a statement of 'minimum standards for academic levels' that is accepted by the Australian Industrial Relations Commission as reflecting adequately the differences between the appointment levels in terms of the complexity of the work undertaken, the autonomy necessarily exercised, and expectations of academic

⁵ Statistics are taken from the website for the Australian Government Department of Education. See <https://education.gov.au/higher-education-statistics>

achievements.⁶ A professor, for example, is expected to “provide leadership and foster excellence in research, teaching and policy development in the academic discipline, within the institution, and within the community, professional, commercial or industrial sectors”, and must also have “attained recognition as an eminent authority in his or her discipline, [and] will have achieved distinction at the national level and may be required to have achieved distinction at the international level”.⁷

Finally, there is a principle that academic staff promotion decisions should be based on *performance against explicit standards* that are readily transparent for all members of academic staff. Defining these standards requires a great deal of institutional effort. Most universities use descriptors, such as ‘acceptable’, ‘sustained’, ‘superior’ and ‘outstanding’, with detailed explanations provided about what each descriptor means in practice. This approach is not universal, though, because there are some universities that provide little or no information for applicants, leaving much room for members of a promotion panel to rely on purely subjective judgement.

Legislative and Regulatory Requirements

Though there is no single, centralized system for determining academic staff promotions across public universities in Australia, there are legislative and regulatory framework requirements that, in effect, require consistent practice regarding the academic promotion process across all universities. Important among these is the *Fair Work Act 2009*, which affects all Australian workplaces. This federal government legislation requires the establishment of an ‘enterprise agreement’ at every workplace. As indicated earlier, this document sets out the terms and conditions of employment that have been negotiated between the employer and the employees. For public universities, ‘enterprise agreements’ normally address matters such as salaries, probation, leave entitlements, incremental progression, performance development reviews, retirement and dismissal. Enterprise agreements are often lengthy and detailed, covering every aspect of the employment contract at an institution. They often address the conditions applying

⁶ See https://www.hr.unsw.edu.au/Higher_Education_Industry_Academic_Staff_Award2010.pdf

⁷ See footnote 4.

to academic staff promotion, stating, for example, that the university will provide its members of academic staff with an opportunity for promotion; that promotion will be on the basis of merit; that the focus of promotion decisions will be the applicant's recent achievements as an employee; that there will be sufficient notice given to academic staff members about the opportunity to apply for promotion; and that the academic staff promotion policy will be subject to ongoing review and improvement. Sometimes, however, these conditions are not referred to in an enterprise agreement, but they are so widely agreed to across all Australian universities that they are accepted implicitly, even if not referred to explicitly.

Also important are various federal and state laws and regulations relating to equal opportunity and the avoidance of any form of discrimination on the basis of gender, race, ethnicity and disability. At the federal level, for example, there is an *Age Discrimination Act 2004*, a *Disability Discrimination Act 1992*, a *Racial Discrimination Act 1975*, and a *Sex Discrimination Act 1984*. There is also an *Australian Human Rights Commission Act 1986* that empowers an Australian Human Rights Commission to exercise functions related to international conventions, including the *International Covenant on Civil and Political Rights*, the *Convention Concerning Discrimination in Respect of Employment and Occupation*, and the *Declaration on the Elimination of All Forms of Intolerance and of Discrimination Based on Religion and Belief*. Academic staff promotion policies and procedures adopted by Australian public universities are required to be fully compliant with these laws and conventions, and with related state-based laws and regulations that give expression to particular requirements within state and territory jurisdictions.⁸

There are, in addition, federal laws relating to administrative procedures, including the *Freedom of Information Act 1982*, the *Administrative Appeals Tribunal Act 1975*, and the *Ombudsman Act 1976*, with mirroring legislation at the state and territory levels. These laws impact on the process of decision-making within public universities in terms academic staff promotion procedures. They require, for example, that there must be a high level of transparency in relation to decision-making about matters such as academic staff promotion, and that there must also be procedural fairness so that anyone adversely affected by a promotion

⁸ Australia has a federal system of governance, whereby there is a national Commonwealth Government and eight state/territory governments.

decision must be properly informed about the reasons for rejection of their application.

The NTEU acts on behalf of employees in negotiating enterprise agreements. Membership in this union is voluntary, with members paying an annual membership subscription. Academic staff promotion is an issue that occasionally attracts attention by the union, usually because of the perceived adverse impact on staff members of a proposed revision to an institution's academic promotion policies and procedures. In general, though, academic promotion processes are rarely a cause for dispute.

The Academic Staff Promotion Process: A Case Study

The following account of the promotion process at one Australian public university is illustrative of the process of academic staff promotion that typically occurs across public universities in Australia. The process is reported chronologically.

Early in the academic year, the university reviews its academic staff promotion policy and procedures, having regard to any difficulties encountered in the previous academic year. Minor changes to the procedures may be made, but no policy changes are made until there has been a comprehensive policy review, which usually occurs every three to five years.

Members of academic staff who have had at least two years of continuous service at the university are then invited to apply for promotion. Details of the university's policy and procedures are made available online, and workshops are conducted by the institution's human resources facility to assist prospective applicants with the documentation of their applications. Within faculties, academic supervisors and deans of faculties routinely notify particular members of academic staff whom they recognize to be especially deserving of promotion, but any eligible member of the academic staff may apply

The vice-chancellor meets with the head of the human resources directorate at about this time to set about establishing an independent promotion panel that will make recommendations to the vice-chancellor about those individuals who deserve to be promoted. By legislation, the panel must be selected equitably and transparently.

Once finalized, the members of the panel are announced to the university community. A senior academic member from the vice-chancellor's executive group (usually the senior deputy vice-chancellor) chairs the panel. Its membership normally includes the chair of the academic board, other members of the vice-chancellor's executive group, several senior members of academic staff nominated by the vice-chancellor, and several senior invited members of academic staff from other Australian universities.

In preparing an application, the staff member must produce a body of evidence to support claims made across three areas, namely, teaching, research and service. The staff member must also argue a case for his or her achievements being recognized 'satisfactory', 'commendable', 'meritorious' or 'distinguished'. In arguing this case, the staff member makes use of detailed descriptions provided by the university of the performance standards that are associated with each of these descriptors. The applicant also builds a portfolio of evidence that attests to the claimed achievements. In the case of teaching, for example, a 'meritorious' performance level would normally require evidence of student and peer feedback on teaching that is consistently better than the university average, together with evidence that the practice of teaching has been informed by scholarship about teaching, and evidence of notable achievements in teaching that have been externally recognized as examples of innovation. In the case of research, a 'meritorious' performance would normally require evidence of a sustained output of refereed scholarly research works that are of national, or preferably international, significance. These publications might include refereed articles in high-impact journals, and books or book chapters accepted by well-regarded publishers. Evidence of external grants, high citation indices, and invitations to present at national or international conferences would also be of note. In the case of service, a 'meritorious' performance would normally require evidence of the exercise of a significant level of leadership in support of the profession, the community and the university.

The promotions panel then considers all of the applications. It assesses the merit of the applicant's teaching, research and service in terms of the performance standards prescribed by the university for each of the performance levels, that is, 'satisfactory', 'commendable', 'meritorious' and 'distinguished'. It also takes account of referee reports, and of reports from the staff member's supervisor and the dean of the staff

member's faculty. The promotions panel normally interviews each applicant. It may, if considered necessary, also obtain independent expert assessments from recognized leaders in the applicant's disciplinary area.

In deciding which applications for promotion to recommend for approval, the promotions panel takes account of a university-prescribed set of expectations that relate to promotion to particular appointment levels. For promotion to lecturer, for example, the university may have prescribed that the applicant should have achieved an average performance level that is better than 'satisfactory' across the three areas of teaching, research and service; for promotion to senior lecturer, the requirement may be that the applicant has achieved an average performance level that is better than 'commendable' across the three areas; and for promotion to associate professor, the requirement may be that the applicant has achieved an average performance level that is better than 'meritorious' across the three areas. Promotion to professor may require a 'distinguished' level of performance in two of the three areas, usually in research and one other. Special provisions are normally made for 'research only' applicants.

The promotions panel forwards its recommendations for promotion to the vice-chancellor, who subsequently announces the names of the successful applicants. The vice-chancellor's decision is final. Unsuccessful applicants are informed of the reasons for their lack of success. They may request a review if there is considered to have been a procedural irregularity.

An Illustration of the Process

Dr. X is a lecturer who is seeking promotion to senior lecturer. She has a PhD qualification, obtained nine years earlier, and she has been employed at her current university for four years. Her supervisor, who is also her head of school, encouraged her to apply for promotion on account of her sustained and impressive performance across all areas of responsibility.

To be promoted to senior lecturer, she needs to demonstrate that her performance is, on average, better than 'commendable', on a scale of 'satisfactory', 'commendable', 'meritorious' and 'distinguished'. Having regard to the performance standards required by her university, as set out on its website, she considers that her teaching is 'meritorious', her research is 'commendable', and her service is 'meritorious' – and so her

average performance level across the three areas of responsibility will be better than ‘commendable’.

The standards for ‘meritorious’ in teaching are demanding. They include: achieving consistently strong positive student feedback on teaching; producing externally reviewed publications about teaching; and demonstrating evidence of sustained innovation in teaching. In her application for promotion, Dr. X reports that average student satisfaction scores for her teaching have been significantly above the university average for all of the past four years. She reports also that she has had multiple peer-reviewed articles published about her approach to teaching. She is also able to demonstrate external recognition of innovation in teaching in the form of a prestigious citation awarded to her by the Commonwealth Government’s Office of Learning and Teaching.

The standards for ‘commendable’ in research focus mainly on research publications. Dr. X reports that over the past five years she has been the author or co-author of an average of four peer-reviewed research articles per year. She reports also that she has been successful in obtaining several small research grants from within the university, and that she has recently had success in supervising three doctoral candidates to completion.

The standards for ‘meritorious’ in service mainly relate to the provision of leadership, whether at the university or in a professional community. Dr. X reports that she has exercised significant professional leadership by being a prominent member of the executive group of a disciplinary-based association that produces a national peer-reviewed journal and that convenes an annual scholarly conference. She reports also that she has been an active member of a number of key university committees, and has recently taken over as chairperson of one of them. In addition, she is a member of several editorial boards for national journals in her disciplinary area.

The promotion panel agreed that she met the requirements for promotion to senior lecturer and recommended so to the vice-chancellor. After reviewing the evidence, the vice-chancellor accepted this recommendation.

Concerns with the Academic Staff Promotion Process

Curiously, the extent of Australian research about matters related to the academic staff promotion process is limited in extent. During the late 1980s, several journal articles were published about areas of concern with the process. Since then, the topic has received some mention in a series of commissioned reports about characteristics of the academic profession in Australia (McInnis, 1999; Anderson et al., 2002; Coates et al., 2007; Bexley et al., 2011). Most recently, there have been several online reports of institution-based reviews of academic staff promotion processes (NTEU, 2013; Robarts, 2014). In aggregate, however, these accounts do not represent a substantial body of research about the topic.

One of the two journal articles published in the 1980s reported on perceptions of the academic staff promotion process at a single Australian public university (Moses, 1986). The prevailing view of the interviewees was that the academic staff promotion process rewarded research achievements more than it rewarded achievements in teaching. This concern continues to be expressed across Australian universities. The other article addressed the characteristics of the academic staff promotion process at Australian universities in the late 1980s (Allen, 1988). Surprisingly, there have been relatively few changes since then. The application process has, however, become more insistent upon the documentation of objective evidence of performance across the areas of teaching, research and service. It has also become more complicated, more regimented and more time-consuming for applicants.

Of the four commissioned reports on the academic profession that were produced over the period from 1999 and 2011, the report by Bexley and colleagues (2011) is the most informative. It presents the results of a survey in 2010 of 5,525 academic staff members from across 20 Australian universities. Table 1 presents a summary of selected findings from the survey. The participants were invited to indicate which activities *are valued*, and which activities *should be valued*, in the current academic staff promotions process at their university.

Table 1: Proportions of respondents believing listed activities are and should be valued in the current promotions process at their university (Bexley et al., 2011, p. 25).

Activities	Currently rewarded	Should be rewarded
Ability to attract external funds	82.8%	39.0%
Research/scholarly activities	74.7%	72.4%
Effectiveness as a teacher	29.3%	82.5%

As may be seen in Table 1, a very high proportion (82.5 percent) of respondents considered that the academic staff promotion process should reward teaching effectiveness, but only a small proportion (29.3 percent) of respondents felt that it actually did. In other words, teaching effectiveness was perceived as being significantly undervalued by the academic staff promotion processes at Australian universities. Research, on the other hand, was considered by a majority (72.4 percent) of respondents as being an appropriate activity to reward through the academic staff promotion process, and most (74.7 percent) respondents considered that the process did, in fact, reward it.

Interestingly, when the results of the survey conducted by Bexley and colleagues were compared with the results of a similar survey conducted by McInnis (1999) a decade earlier, the clear trend was one of increasing concern among academic staff members about the extent to which the academic staff promotion process in Australian universities fails to reward teaching effectiveness. In 1999, 43.9 percent of respondents considered that teaching effectiveness was rewarded by their university's academic staff promotion process, whereas in 2010 only 29.3 percent of respondents considered that this situation applied (Bexley et al., 2011, p. 25). The significance of this trend is discussed later in this chapter.

Another finding reported by Bexley and colleagues, and shown in Table 1, was that only a minority (39 percent) of those surveyed in 2010 considered that the ability to earn external funds should be rewarded by the academic staff promotion process. However, a large majority (82.8 percent) of respondents considered that an ability to earn external funds was, in fact, being rewarded by the process. The survey conducted by McInnis in 1999 found a similar pattern, though the proportion of respondents in 1999 who felt that the ability to attract external

funds should be rewarded by the academic staff promotion process was slightly higher (at 45.9 percent) (Bexley et al., 2011, p. 25). These results are interesting because they raise the question of whether the increasing tendency by the Commonwealth Government to reward excellence in teaching and research through grant schemes that are highly competitive, and that provide financial rewards not only for the individual grant-winners but also for the universities at which they are employed, may be having too much of an impact on institutional academic staff promotion processes. The grant schemes that reward excellence in teaching tend to give more attention to developmental initiatives that are regarded as being ‘exciting’, even if not essential, than they do to all-round excellence in working cooperatively with students to assist them with their learning.

Two recent institution-based reviews (NTEU, 2013; Robarts, 2014) of academic staff promotion processes are valuable for the insights they provide regarding the difficulties experienced with the academic staff promotion process at a local level. The NTEU report concerned the academic promotion process at the University of Tasmania (UTas), and the report by Robarts concerned the academic promotion process at Charles Stuart University (CSU) – a regional university in New South Wales

The NTEU report (2013) presents the results of a survey of NTEU members at UTas. The focus of the survey was to obtain the views of members on the extent to which the draft of a revised academic promotions policy for the University was acceptable. There were fifty-eight responses, but it is not clear if the responses were in any way representative of academic staff views across the University. In any event, a locus of concern for respondents was the extent to which the revised policy adequately accounted for opportunities for promotion by academic staff members in teaching-intensive roles – that is, they are members of staff who are focusing more on teaching than research, and hence may not be accumulating the research attainments required for promotion. Respondents reported also their concern about the heavy reliance on the internal institutional student feedback system as a source of evidence of teaching effectiveness, using student satisfaction as a proxy for teaching effectiveness. They also expressed concern about the ability of the promotions panel to interpret the data collected by means of this instrument. There was additional concern expressed about the use of performance descriptors in the academic

staff promotion policy – these were ‘valuable’, ‘significant’, ‘excellent’, and ‘outstanding’, which were considered to be neither clearly defined nor transparent. Of interest here was the focus of their criticisms: the difficulties associated with evaluating teaching effectiveness, and the difficulties of explicating clearly the full range of considerations needing to be addressed by each performance standard.

The document from Robarts (2014) is more comprehensive. He reports on a survey of academic staff at CSU that attracted 205 respondents. The extent to which the respondents were representative of all members of academic staff at CSU was not reported. Of interest here, though, is the nature of the general concerns expressed by the respondents. These concerns included: that an excessive amount of time was required to complete the promotion documentation; that there was insufficient recognition given by the academic staff promotion process to the importance of teaching; that the academic staff promotion process encouraged an excessive focus on research activity; that there was a lack of clarity in the promotion criteria; that the academic promotion process failed to take sufficient account of disciplinary norms for research outputs; that there were deficiencies with the promotion interview process; and that there were deficiencies in the training sessions provided for the applicants (Robarts, 2014, pp. 42-43).

Robarts (2014) critically examined many of the concerns expressed. His comments on the institution’s academic staff promotion policies and practices are noteworthy. He noted that there was an insufficient availability of workshops aimed at dispelling myths and misconceptions about the academic staff promotion process, and at providing practical advice about how to prepare a high-quality application for promotion. He also noted: ambiguities in a ‘performance relative to opportunity’ provision in the institution’s academic staff promotion policy; the need for a clearer set of provisions relating to differences in research expectations between disciplinary areas; and the need for promotions panel members to be more knowledgeable about how to interpret student feedback on teaching – he called for better training of panel members in this regard.

Taking into account the content of both reports (NTEU, 2013; Robarts, 2014), it is evident that members of academic staff at both institutions had multiple concerns about institutional academic staff promotion policies. Particularly strong is the level of concern expressed

about the ways in which teaching effectiveness is appraised under the promotion policies of the two universities in question. Concerns about the validity of student feedback ratings as a basis for appraising teaching effectiveness are evident in both reports, as is a concern that promotion panel members are not sufficiently trained to be able to interpret data on teaching achievements, especially data derived from student satisfaction feedback surveys.

In summary, from all the available sources, including both the larger cross-institutional surveys and the smaller single-institution surveys, the concerns of members of academic staff with institutional academic staff promotion processes at Australian public universities relate in one form or another to the extent to which teaching effectiveness is not sufficiently valued and not comprehensively appraised. Robarts (2014, p. 79) concluded, for example, that: “The main driver for the current review is not the failure to recognize teaching and learning in promotion policy but the historical lack of processes for teachers to identify and evidence achievements.” He also proposed that teaching should be more broadly defined to include: “every aspect of any activity that contributes to [student] learning and this includes student recruitment, widening participation, design and delivery of courses, student engagement and supervision, pastoral support, management and leadership, and maintaining awareness and understanding of recent advances in knowledge of a relevant discipline” (Robarts, 2014, p. 81). These insights are important and are most likely applicable to all universities in the Australian higher education system.

It is interesting at this point to compare the current situation in Australian public universities and the situation described almost twenty years ago by Tierney and Bensimon (1996, p. 127–28), who used interview data collected at twelve universities and colleges in the United States to describe and analyse the culture of promotion and tenure that existed at those institutions. They concluded that excellence in teaching was generally undervalued, that research was universally considered to be important, and that, while service was symbolically important, it was never clear how much service activity was required in order to secure promotion or tenure. They observed also that members of academic staff never seemed to know exactly what they needed to do to be promoted because the information available to them was vague and sometimes contradictory. A sense of exhaustion with the institutional processes required for promotion and tenure was reported.

The organizational consequences were that:

“Good teaching is not particularly valued, and service is often seen as a waste of time. Research is pursued not because of any intrinsic interest, but in order to attain job security. Collegial relationships are sporadic at best and intellectual conversation appears to be on the verge of extinction.”

(Tierney and Bensimon, 1996, p.128)

The culture in Australian universities is not as bleak, but there are elements in the Australian situation that resonate with the description provided by Tierney and Bensimon. Over the past decade in Australia, obtaining research grants and research publications has become a preoccupation for academic staff members seeking to be promoted. It is based on a widespread belief that promotion panels reward research achievements to a far greater extent than they reward achievements in either teaching or the provision of service. The existence of this belief is evident from the results reported by Bexley and colleagues (2011). How factually based the belief is remains unknown. On the contrary, data from the University of Wollongong in Australia, as reported by Roberts (2014, p. 42), suggest that applications for promotion that are based strongly on excellence in teaching are almost as successful as those based strongly on excellence in research.

Nevertheless, in Australia, good teaching does remain valued. Except for ‘research only’ applicants for promotion, all applications for promotion must provide details of sustained success as a teacher, as illustrated by, among other things, positive student feedback obtained from routine online surveys. There is no doubt, though, that these surveys have major limitations, not the least of which is that the response rate to them when completed voluntarily is seldom higher than 40 percent. They also tend to cater more for traditional styles of teaching and student assessment, and they are amenable to some manipulation because they also measure to an extent the popularity of the presenter. As reported earlier (NTEU, 2013; Roberts, 2014), there is also concern that promotion panels are untrained in the process of interrogating the results reported.

Appraisal of the Academic Staff Promotion Process

The *UNESCO Recommendation Concerning the Status of Higher Education Teaching Personnel (1997)* states that higher education teaching personnel should enjoy “a just and open system of career development including fair procedures for appointment, tenure where applicable, promotion, dismissal, and other related matters” (Article 43). In general, the academic staff promotion process in Australia satisfies this prescription. There are rarely any reports of the promotion system disadvantaging members of academic staff on the basis of gender, race, religion, ethnicity or disability. The need to negotiate ‘enterprise agreements’ provides a means for review of perceived inefficiencies and inequities. There is, in addition, a strong national legislative framework that supports the attainment of equal opportunity, transparency and consistency. The main outstanding problem is the perception that research achievement is rewarded more than teaching effectiveness. There is, however, no objective evidence yet available to demonstrate how soundly based this perception is.

Over time, however, the academic staff promotion process in Australia has become much more bureaucratically burdensome for academic staff members seeking promotion. A comparison of the process as it exists now with the process as it existed in the late 1980s (Allen, 1988) confirms this point. Indeed, the burden of responsibility on academic staff members seeking promotion to prepare a well-documented case is a reason that is often given by them for postponing the submission of an application. The reasons for the process becoming more bureaucratically burdensome are related to the need for improvements in terms of achieving more equal opportunity, transparency and consistency.

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ACADEMIC PROMOTION OF HIGHER EDUCATION TEACHING PERSONNEL IN CAMBODIA

**Leang Un,
Bonarin Hem,
Seng Sangha.**

Phnom Penh, Cambodia

BACKGROUND

THE MODERN development of higher education in Cambodia is relatively recent and uneven compared to other countries, even within Southeast Asia. The first modern university in Cambodia was established in the 1960s, followed by other higher education institutes (HEIs); however, higher education enjoyed a relatively short period of growth and development. Then growth was disrupted during the first civil war (1970-1975), and became non-existent during the Khmer Rouge period (1975-1979) when all formal education institutions were abolished. Moreover, higher education remained underinvested during the second civil war from 1979 to 1993.

In the early 1990s, development in higher education was mainly driven by external support, especially bilateral aid. The support focused on expansion of foreign language training (French and English) and research into the reform of education, in general, and in the higher education sub-sector, in particular (Denham, 1997). Before the late 1990s, higher education was provided predominantly by the state, and the coverage was very low. Between 1993 and 1997, there was a gross total enrolment rate of more than 10,000 students each year. As of 1997, there were only eight public HEIs.

Since the late 1990s, the higher education landscape in Cambodia has been dramatically transformed through the introduction of public-private partnerships. In 1997, the first private higher education institution was established due mainly to the inability of the public universities to absorb the rapidly increasing number of high school graduates. In the same year, the state also permitted public HEIs to operate their fee-paying programmes, which enables students to pay

for access to public universities as part of supplementing the limited public finance to higher education. For example, the Institute of Foreign Language (IFL) at the Royal University of Phnom Penh, the National University of Management, and the Royal University of Law and Economics were among the first public HEIs to offer such programmes.

Since then, the higher education sub-sector has begun moving from its elite access to a massification stage, in both the number of HEIs and student enrollment. The number of HEIs climbed drastically from nine in the early 1990s to forty-five, of which thirty-two were private, in 2005 and more than double to one hundred and five, of which sixty-six are private, in 2014. These one hundred and five HEIs are under the supervision of fourteen different ministries, the government council or institutions. As shown in the following section, this fragmentation can negatively affect academic policy because full-time teaching staff are officially civil servants within these ministries.

Figure 1: Ministries/Govt. Council or Institution supervising HEIs

No	Ministries/Government Council or Institution	Number of HEIs		
		Public	Private	Total
1	Ministry of Education, Youth and Sport (MoEYS)	9	56	65
2	Ministry of Labour and Vocational Training (MoLVT)	9	10	19
3	Ministry of Agriculture, Forestry and Fisheries (MoAFF)	3	0	3
4	Ministry of Health (MoH)	2	0	2
5	Ministry of Culture and Fine Arts (MoCFA)	1	0	1
6	Ministry of Economy and Finance (MoEF)	1	0	1
7	Ministry of Religions and Cults (MoRC)	3	0	3
8	Ministry of Public Works and Transport (MoPWT)	1	0	1
9	Ministry of National Defense (MoND)	5	0	5
10	Ministry of Interior (MoI)	1	0	1
11	Ministry of Social Affairs, Veteran and Youth Rehabilitation (MoSAVYR)	1	0	1

12	Ministry of Industry Mines and Energy (MoIME)	1	0	1
13	Office of Council of Ministers	1	0	1
14	National Bank of Cambodia	1	0	1
Total		39	66	105

Source: Data from the Department of Higher Education, Ministry of Education, Youth and Sport, 2014

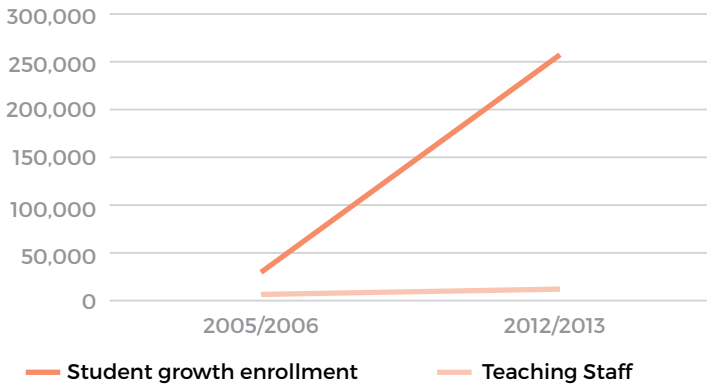
Student enrollment also has gradually increased, reaching more than 30,000 students in 2005, from which point the enrolment rate started to surge rapidly. In the academic year 2012-13, 255,791 students were enrolled in all HEIs across the country⁹. Of these students, 105,455 (of whom 40,348 were female) were pursuing their education, ranging from associate's to doctoral degrees. Nevertheless, it is important to note that the graduate programme in Cambodia remains small; for example, in 2013, only about 15,000 are enrolled in master's degree programmes and 1,000 in doctoral programmes.

According to the government's current Education Strategic Plan, teaching personnel not only play a critical role in response to this expansion, but also are key to ensuring the quality of the higher education. However, the increase in teaching staff is not in line with the increasing student enrollment. In the academic year 2005-2006, there were 5,234 teaching staff – both Cambodians and foreigners, and there was an increase to 10,842 lecturing staff¹⁰ – both Cambodians and foreigners – at HEIs in 2013¹¹. Figure 2 shows the number of students and teaching staff in Cambodia.

⁹ Despite the recent drastic rise in the student population, the tertiary enrolment rate in Cambodia is actually still much lower than those in other countries in the region.

¹⁰ According to the statistics from 2014 Education Congress Report, MoEYS

¹¹ Office of Statistics, Department of Higher Education and Education Congress Report, MoEYS. 2014. p. 42. It is important to note that there are a lot of repeated names reported in this data as most of the teaching staff teach at more than one HEI. An unpublished survey conducted by DHE reveals that some teaching staff teach at up to four HEIs.

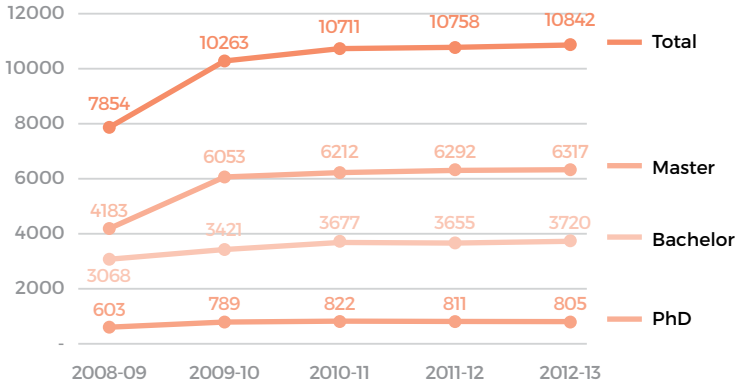
Figure 2: Number of students and teaching staff in Cambodia

Source: Data from the Department of Higher Education, Ministry of Education, Youth and Sport, 2014

Furthermore, there is a growing concern over the qualifications of teaching staff. As seen in Figure 3, the number of teaching staff with doctoral degrees is very low. The majority hold a master's degree, and the number of those with only a bachelor's degree is substantial too, forming one-third of all teaching staff. The figure below includes both civil servants and on-contract teaching staff, but the statistics for the non-academic staff are not available.¹² There is no break-down of staff statistics between private and public HEIs available. However, it is important to note that the private sector is only able to employ full-time staff for administrative tasks, full-time teaching staff are very limited.¹³ Further, there seems to be stagnation in terms of teacher recruitment for the last couple of years.

¹² It is important to note that due to the low pay, the majority of non-teaching staff are also involved in teaching, as teachers are paid according to teaching hours.

¹³ Out of 4,924 teaching staff at 51 HEIs (more than two-thirds are private HEIs) who returned the surveys conducted in 2013 by Department of Higher Education, 2,871 were labeled part-timers. In a usual practice, instructors are often paid over teaching hours and/or are hired merely to teach (private HEIs/public HEIs).

Figure 3: Change in number of faculty

Source: Data from the Department of Higher Education, Ministry of Education, Youth and Sport, 2014

However, Cambodia is not a unique case. In their study, Altbach et al. (2009), observe that, “many university teachers in developing countries have only a bachelor’s degree; the number of part-time academics has also increased in many countries – notably in Latin America, where up to eighty percent of the professoriate are employed part-time. Moreover, in many countries such as China, Vietnam, and Uganda, universities now employ part-time professors who have full-time appointments at other institutions. It is also the case that professors at state universities in much of the world help to staff the burgeoning private higher education sector by ‘moonlighting’” (p.xiii).

The lack of academic promotion in Cambodia in the last two decades hinders the ability of universities to recruit and retain overseas trained personnel to teach. The exact data on those who used to teach at the university and got scholarships for overseas study and then came back to work outside their university is not available, but anecdotal evidence indicates that most of them have been recruited into other sectors – the private sector, international development agencies and foreign missions, such as foreign embassies.

As one long-time expatriate notes, “our young returning graduates with master’s or doctoral degrees need to be engaged in education—which means welcoming them back, giving them meaningful work and responsibility and paying them salaries commensurate with their degrees. At present, in the civil service system in Cambodia, one receives USD 0.50 more each month after receiving a doctoral degree.”¹⁴

At the same time, the implementation of the ASEAN integration strategy, “One Community, One Destiny in 2015”, causes concern among Cambodian scholars. This issue has been rightly observed by UNESCO since the late 1990s and re-emphasized by UNESCO Bangkok in its Research Framework on Academic Promotion Policy in Asia and the Pacific. The research framework argues that, “significant inequalities within the region can undermine regional cooperation and solidarity. Inequality contributes dramatically to flows of talented staff and students from the less well-endowed systems to those with more resources” (see Appendix).

In conclusion, this paper will explore the situation in relation to the academic promotion policy in Cambodia and is divided into two parts: Part I will assess major issues related to the status and career advancement of academics in Cambodia based on the 1997 UNESCO Recommendation Concerning the Status of Higher-Education Teaching Personnel, and Part II will present policies and regulations which have an impact on academic promotion in Cambodia.

¹⁴ Adheren, L. (2011).

ISSUES ABOUT THE STATUS AND CAREER ADVANCEMENT OF ACADEMICS IN CAMBODIA VS. THE 1997 UNESCO RECOMMENDATION

As mentioned earlier, the majority of private HEIs are not able to employ full-time faculty members. Therefore, the focus in this paper is only on full-time teaching personnel in the public sector. This is because a part-time teaching job in Cambodia is paid according to the number of teaching hours without much other institutional obligation and attachment.

In Cambodia, the status of all public teaching personnel is equal to that of civil servants. The Council for Administrative Reform (CAR) works as a secretariat of the Royal Government of Cambodia (RGC) and plays a crucial role in public administrative reforms aimed at increasing civil servants' capacities, effectiveness and efficiency. The CAR has produced several legislative instruments related to the status, staffing, census, data, salary structure, compensation system, and rationalization of civil servants. The following section will describe:

1. Entry into academic profession
2. Security of employment
3. Negotiation of terms and conditions for employment, salary, workload, social security benefits, health and safety
4. Government official status
5. Promotional status
6. Discipline and dismissal

Entry into academic profession

All public universities need to make a request to the Ministry of Education, Youth and Sport (MoEYS), for a specific number of full-time skilled teaching staff needed at their institutions. Then, the MoEYS makes a nationwide announcement to recruit people through a national examination which, in principle, is competitive and the equity issue in terms of gender is taken into serious consideration. The gender equity policy applies only to the civil servant status – not to the part-time teaching faculty members at universities which have sole authority in the recruitment process.

In order to improve the quality of teaching in higher education, the MoEYS has recently set certain criteria for those who wish to teach at a higher education institution: they must hold at least a master's degree. Although there is no shortage of candidates, it has been a difficulty for province-based universities to attract the necessary number of qualified teaching staff, especially those who have graduated abroad. In Cambodia, in general, those who graduated from a local university or province-based university are considered as having limited qualifications although exact data is not available. The table below shows the number of teaching staff in nine public universities under the supervision of MoEYS.

Figure 4: Number of Teaching Staff in Nine HEIs

Name of university	Location	Full-time teaching staff	Percentage of Master's degree holders (local and overseas)	Percentage of Doctoral degree holders (local and overseas)
Royal University of Phnom Penh	Phnom Penh	460	58%	3.5%
National University of Management	Phnom Penh	83	70%	16.8%
Royal University of Law and Economics	Phnom Penh	111	70%	0.7%
National Institute of Education	Phnom Penh	252	31%	0.2%

Institute of Technology of Cambodia	Phnom Penh	155	46%	10%
Chea Sim Kamchaymea University	Province	54	46.30%	0%
University of Svay Rieng	Province	73	75.30%	0%
University of Battambang	Province	49	87%	0.6%
Meanchey University	Province	79	72.20%	0%

Source: Adapted from *Rany, Zain and Jamil, 2012*

After taking the leadership at the MoEYS in late 2013, the new minister made the first brief policy paper on higher education—a new direction moving away from centralization towards more institutional autonomy in the recruitment process.

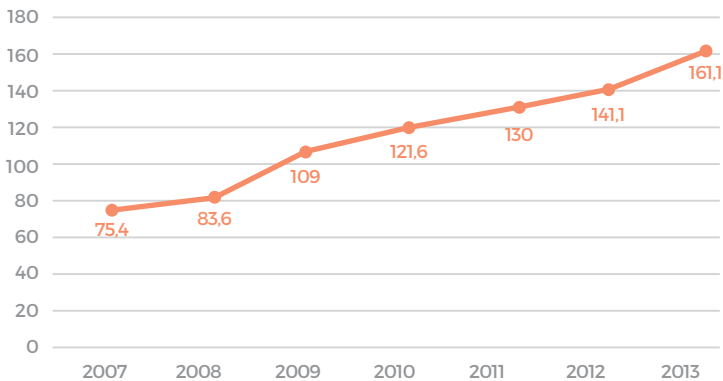
- **Security of employment** – Those who became full-time faculty members after 2012 have to go through a six-month probationary period, whereas, in the past, probation took twelve months. Upon passing the probationary period, they will become tenured civil servants.
- **Discipline and dismissal** – Though the issues of higher education quality and quality HEI teaching staff still concerns the public, there is a well-structured disciplinary procedure in order to manage and encourage government officials. This is the RGC's policy for newly recruited staff. However, these staff are subjected to dismissal within their first three-month period following their probation. After that period, leaving their workplace takes place at their will, retirement or physical disability or demise.
- **Negotiation of terms and conditions for employment, salary, workload, social security benefits, health and safety** – Although the overall salary is low in Cambodia, public civil servants receive a basic salary and functional allowance. In the case of faculty members, these are called the pedagogic allowance and the subsidiary allowance. In addition to this, civil servants receive a social insurance scheme and work accident and death benefits. The Royal Government of Cambodia also takes a positive stance towards those who are willing

to serve in disadvantaged communities. For those who serve in remote and poor health-care/dangerous areas receive favorable treatment, such as an additional allowance and accommodation. Although there has not been a study conducted at the level of higher education, an observation at the lower level conducted by the Cambodia Independent Teachers Association (CITA) is also applicable for higher education. A CITA report noted, “there is a confusing array of allowances available to teachers under a number of headings. These allowances, however, do not appear to be uniformly applied across the country, and there is not a consistent relationship between the allowance system and rewards for quality teaching or performance.”¹⁵

Although, in practice, not everyone takes his/her annual holiday, the Royal Government of Cambodia provides a common standard for annual leave. More satisfactorily, civil servants can take a leave-without-pay request for up to four years.

Furthermore, civil servants are entitled to a retirement scheme. If a civil servant has worked for the government less than twenty years, he/she will receive a lump-sum payment. But, if he/she has worked for the government for 20 to 29 years, he/she will receive sixty percent of net salary as pension, plus an annual increase of two percent.

Figure 5: Average government salary of higher education staff in US dollars (monthly)

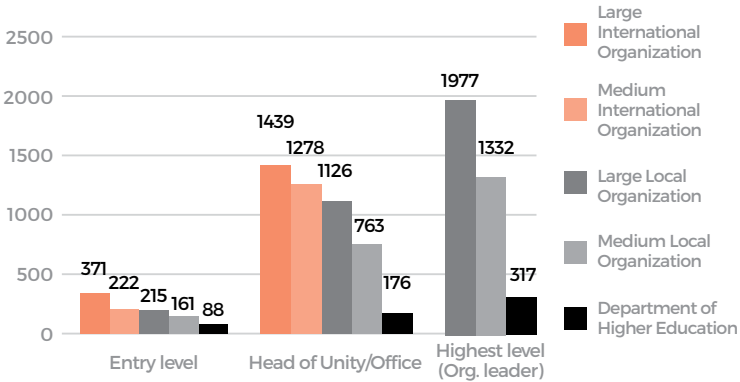


Source: Data from the Department of Higher Education, Ministry of Education, Youth and Sport, 2014

¹⁵ Cambodia Independent Teachers Association (CITA).

Comparing average monthly gross salaries and benefits, the chart below shows a similar story. Government staff salary and benefits are still far behind other local and international organizations.

Figure 6: Average Monthly Gross salaries and Benefits for Cambodian staff in USD



Source: Data from the Department of Higher Education, Ministry of Education, Youth and Sport, 2014

There are four different categories of government officials in Cambodia, namely, Category A, Category B, Category C, and Category D (see Figure 7). In each category, there are three different grades, and in each grade there are different step/salary classes. Currently, teaching personnel in higher education are in Category A.

Figure 7: Categories and grades of salary level

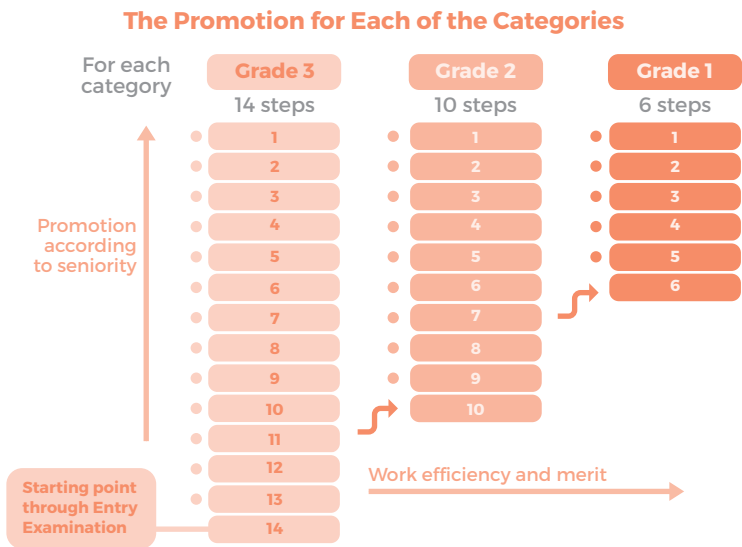
Category	Grade	Up to 14 Steps/Salary Classes													
		14	13	12	11	10	9	8	7	6	5	4	3	2	1
A	1														
	2														
	3														
B	1														
	2														
	3														
C	1														
	2														
	3														
D	1														
	2														
	3														

Source: Cambodian Administrative Reform Report, 2010, p. 10

Promotion Status

In Cambodia, promotion is usually done through seniority. In order to promote work efficiency, Cambodia has recently adopted a merit-based system in which one can apply for an open post in a higher grade. This practice has been implemented at the ministry level, for example the MoEYS, but not yet at the university level.

Figure 8: The Promotion in each of the categories



Source: Cambodian Administrative Reform Report, 2010, p. 25

Prior to the new policy, every two years, each government official was promoted to the next step/salary class of each grade on the basis of evaluation or seniority. However, now government officials are annually promoted to the next step/salary class of each grade. For instance, the new recruits to teach at one of the public universities in Cambodia have their current civil servant status as Category A, Grade 3, and Step/Salary class 14. From this status, the following year they will be promoted to Category A, Grade 3, and Step 13. They will continue to be promoted like this annually if their performance is satisfactory. However, if they do not receive a passing grade in their evaluation, they are unlikely to be promoted.

Two policies – Education Law 2007 and Academic Promotion Policy 2013 – have been adopted in order to promote and protect teaching personnel, as can be seen in the figure below, but these policies do not directly address the teaching personnel at the higher education level; rather, they address the teachers in general education.

Figure 9: Cambodia: teacher policies, SABER country report 2011.

Policy Goals	Status
<p>1. Setting clear expectations for teachers</p> <p>Expectations for students and teachers are clear, but teachers do not have adequate time to fulfill their duties</p>	<p>Established</p> <p>● ● ● ○</p>
<p>2. Attracting the best into teaching</p> <p>Career pay (aside from starting salary), benefits, and working conditions are appealing, and there is a selection process into initial teacher education; it is unclear which attractive career opportunities exist</p>	<p>Established</p> <p>● ● ● ○</p>
<p>3. Preparing teachers with useful training and experience</p> <p>Standards for teacher training programs do not exist nor do they include enough practical professional experience; there are no induction programs in place to help smooth the transition into teaching</p>	<p>Latent</p> <p>● ○ ○ ○</p>
<p>4. Matching teachers' skills with students' needs</p> <p>There are not enough monetary incentives for teachers to work in hard-to-staff schools and there are no incentives to teach critical shortage subjects</p>	<p>Emerging</p> <p>● ● ○ ○</p>
<p>5. Leading teachers with strong principals</p> <p>Strong entry requirements for school leadership exist, and principals are provided with performance-based incentives; however, they have limited authority over teacher firing and promotion</p>	<p>Established</p> <p>● ● ● ○</p>
<p>6. Monitoring teaching and learning</p> <p>Student assessments occur annually for all students in selected grades and teacher performance evaluations along multiple criteria are required every year</p>	<p>Established</p> <p>● ● ● ○</p>

7. Supporting teachers to improve instruction

Teacher performance and student learning data are not used to inform teaching and learning; professional development is available but not required for primary or secondary teachers

Emerging



8. Motivating teachers to perform

There are minimum accountability mechanisms in place and some performance-related incentives exist; sanctions for low-performance are weak

Emerging



This might be due to the fact that higher education was not seen as a priority in education policy during the last three decades. Other evidence can be seen in the following table on the expenses on higher education in Cambodia.

Figure 10: Extracted from HEQCIP Finance Policy, MoEYS 2013

Year	Total MOEYS budget in USD	HE actual public expenditure	GDP	% MOEYS against GDP	% HE against GDP	% HE against MOEYS budget
2008	155,500,000	7,550,525	10.4 billion	1.5	0.07	4.9
2009	185,636,500	11,294,975	10.4 billion	1.8	0.11	6.1
2010	206,219,750	10,547,650	11.3 billion	1.8	0.09	5.1
2011	228,974,575	10,500,675	12.9 billion	1.8	0.08	4.6
2012	251,906,600	10,241,150	14.2 billion	1.8	0.07	4.1

ACADEMIC PROMOTION IN CAMBODIA: EN ROUTE TO REFORM

MODERN HIGHER education in Cambodia started very late compared to other countries. The first university was established in the 1960s. Towards the late 1960s, a process of “Cambodianization” took place, introducing four levels of academic positions, namely, lecturer, assistant professor, associate professor, and professor¹⁶. Then, Cambodia fell into the civil war and genocide during which the education system as a whole was completely destroyed. The reconstruction of the education system since the 1980s has not focused on academic promotion. In Cambodia, the Khmer word ‘សិស្សតាចារ្យ’¹⁷, which literally means ‘professor’, is commonly used to refer to “a teacher” at HEIs.

After the end of civil war in early 1990s, the newly elected Cambodian government, with the support of the United Nations and with the assistance from international development agencies, made an effort to reform the education sector as a whole and higher education, in particular, in order to rebuild and develop the country. In the mid-1990s, a National Taskforce on Higher Education was established. Among the major priorities in higher education, a discussion on the policy on academic promotion at HEIs began in 1997¹⁷. However, this was interrupted due to a political conflict and military fighting in Phnom Penh in July 1997 between the two big political parties in the coalition government: the Cambodian People’s Party

¹⁶ Due to the civil war and genocide, documents on the related criteria for academic promotion at that time are not available, but a correspondence with those who survived the Khmer Rouge indicate that policy.

¹⁷ Interviews with senior officials at MoEYS.

(CPP) and FUNCINPEC¹⁸. Later, in 2005, the discussion about academic promotion was reactivated under an initiative of the MoEYS; however, because not all higher education institutions were totally under the supervision of the MoEYS at that point in time, the focus was only on HEIs under its supervision, and progress seemed very slow. There might be several factors contributing to this slow progress, but one of these was the lack of priority given to the higher education sub-sector, as the MoEYS gave more attention to general education.

While there was slow progress towards policymaking at MoEYS, in 2010 and 2011, the Royal Government of Cambodia issued a sub-decree for academic promotion in the field of agriculture under Ministry of Agriculture, Forestry and Fishery (MoAFF), and in the field of health under the Ministry of Health (MoH). So far, around 40 and 400 teaching staff have been promoted in the two ministries, respectively, to be assistant professors, associate professors and professors. Seeing these two ministries introduce their academic promotion policies, in 2011, the MoEYS started to push for its own academic promotion policy¹⁹. In the same year, a draft policy was sent to the Council of Ministers for approval. This effort went alongside the MoEYS's human resource management and development plan for improvement of the effectiveness, efficiency and stability of human resource management in the education sector. One strategy among many was to develop career paths for educational personnel²⁰.

The Council of Ministers returned the draft on academic promotion policy for the education sector and requested MoEYS to prepare a policy on academic promotion for all fields of study, not only for higher education institutes, under its supervision. The MoEYS accepted the request and led the drafting policy. Within two years, in 2013, the Royal

¹⁸ The political instability is commonly cited as the cause of the interrupted intervention in Cambodia; however, a closer look reveals that institutional arrangement is much more important. The attempt to reform higher education in the 1990s was undertaken with external support, and a national taskforce was formed outside the implementing agency, the Department of Higher Education, the MoEYS. Then, when the MoEYS was imposed upon to adopt and implement the reform they did not accept the proposal.

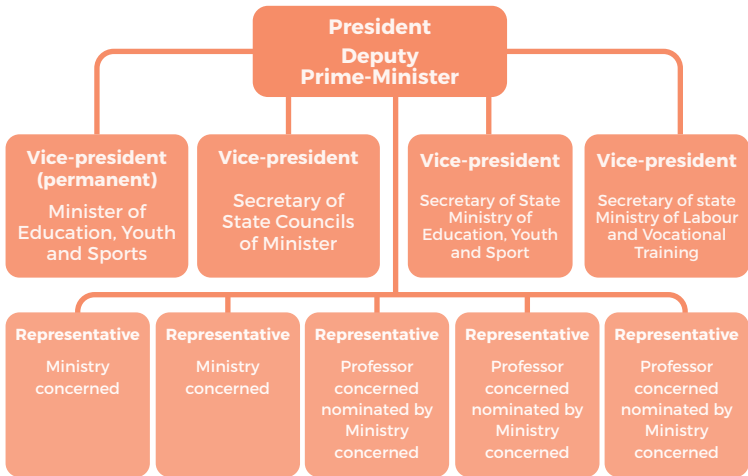
¹⁹ This is according to informal conversations with the people who were involved in the preparation of the Royal decree (Kret) on academic promotion.

²⁰ MoEYS, 2012, Policy on Human Resource in Education Sector, draft, Phnom Penh: MoEYS.

Decree on academic promotion was adopted by the King. The Royal Decree establishes the National Committee for Academic Promotion as the national body to implement academic promotion related issues. This national body is not much different than the one established by MoAFF and MoH in terms of structure and participation. One difference is that the position of non-academic members moves from representative of a different ministry²¹ to a higher level, up to the deputy prime minister, minister and secretary of state. The other difference is that the academic promotion committees for health and agriculture have a three-year mandate, while the National Committee for Academic Promotion for all fields has a five-year mandate.

The new National Committee for Academic Promotion consists of ten people: the deputy prime minister as the president, the minister of education as permanent vice-president, three secretaries of states as vice-presidents (each from Council of Ministers, Ministry of Education, Youth and Sport and Ministry of Labor and Vocational Training), two representatives from ministries concerned and three representatives from professors concerned nominated by ministries concerned. The diagram below lists the members and positions in the National Committee for Academic Promotion.

²¹ In the agriculture sector, one representative from MoAFF, one from CoM, one from MoEYS, and eight professors from tertiary institutes that teach agriculture. In the health sector, one representative from MoH, one from CoM, one from MoEYS, and eight professors from tertiary institutes that teach medical courses.

Figure 11: National Committee for Academic Promotion in Cambodia

Source: Royal Decree, 2013

In higher education institutions in the agriculture and health sectors, the Committee on Academic Promotion has the Department of Personnel at the Ministry of Agriculture, Forestry and Fishery and Ministry of Health as their secretariat. Whereas the new National Committee for Academic Promotion has its own secretariat to carry out its work on academic promotion, and is required to establish a new secretariat consisting of staff from different ministries and representatives of professors, that secretariat has not yet been established. Although the academic promotion reform is not yet in practice, this paper will present certain aspects of academic promotion as spelled out in the Royal Decree, and whenever possible a comparison will be made with other countries.

Types of Academic Promotion

While other countries are practicing, or are en route to introducing, different types of academic positions such as a teaching track, a clinical track, a research track and a professor track, Cambodia has adopted only one track in its Royal Decree 2013. Also, while other countries are discussing the introduction of clinical professor and professor of practice in medicine, law and engineering, Cambodia is not. However, it is important to note that Cambodia uses two different terms for

professor: one in Khmer refers to a general field of study, “សាស្ត្រវិទ្យាប្រទេស”, and another in Khmer refers to a medical professor “សាស្ត្រវិទ្យាប្រទេសវេជ្ជសាស្ត្រ”.²²

Ranks of Academic Position

The ranking of academic positions varies from one country to another, and some countries adopt four or five, or even more to distinguish from “lecturer” to “professor”, but Cambodia adopts only three levels:

- Assistant Professor
- Associate Professor
- Professor

It is very interesting to note that despite the late coming of the preparations for an academic promotion policy by the MoEYS, its structure comes out the same as the ones in agriculture and health which were prepared a few years earlier by those ministries. The only difference is that in health and agriculture HEIs, assistant professors are appointed by the minister of each respective ministry, associate professors are appointed by the prime minister, and professors by the King. While the Royal Decree 2013 states that professors at all levels are appointed by the King,²³ the Royal Decree allows the already appointed assistant and associate professors to re-apply through the National Committee for Academic Promotion if they wish to get an appointment by the King; otherwise, their status remains the same.

The reason why Cambodia has adopted only these three levels of professorship is that Cambodia follows a traditional classification in which only those already on the tenure track will be considered, leaving part-timers to prepare for a full-time job. Unlike other countries, where any professor is often required to have a doctoral degree for promotion, in Cambodia it is only a full professor who is required to hold a doctoral degree, while an assistant professor and an associate professor are not.

²² A personal conversation with those who worked closely in the process of adopting this term reveals that people in that field cannot explain what it means in Khmer and how this is related to medical science. Literally, it is a combination of the word ‘Professor’ and ‘Great’. In fact, the term was adopted because someone in high authority liked the word.

²³ This similarity may be because people responsible for drafting the Royal Decree on academic promotion copied from the previous version produced by MoAFF and MoH.

Criteria for Academic Promotion

1. Assistant Professor

For an assistant professor, the criteria set up by the Ministry of Agriculture, Forestry and Fishery and the Ministry of Health are quite similar. These seven criteria are shown in the following table.

Figure 12: Criteria for promotion of assistant professor

Criteria for 'Assistant Professor'	
Agriculture	Health
holds a post-graduate degree	holds a post-graduate degree
publishes three articles in a local academic journal (as the first author) and one article in an international academic journal	publishes three articles in a local and regional academic journal or supervises students thesis at least five years
supervises at least five students' thesis or co-supervises at least ten students' thesis	supervises at least five students' thesis or co-supervises at least ten students' thesis
has worked at least six years in the institute that offers agricultural field or agricultural research institute under MoAFF	has worked at least six years in a health institute
has currently been teaching one subject, teaching theory at least five years or working as an instructor at least six years	has currently been teaching for at least three years or working as an instructor at least three years at a clinic or hospital
has compiled teaching modules	has been a member of a professional association
has not violated professional code of conduct or was not charged with a crime	has not violated professional code of conduct or was not charged with a crime

Source: Sub-decree (2011) and Sub-decree (2010)

While an 'assistant professor' in the agriculture and health sector has to meet certain criteria, such as the number of publications and thesis supervisions, the criteria for academic promotion for an assistant professor for all fields prepared by MoEYS does not describe detailed criteria and has fewer requirements. Criteria for an assistant professor for all fields prepared by MoEYS:

- holds a postgraduate degree;
- publishes articles in local and international academic journals;
- being an assistant in supervising students' thesis;
- currently teaches one subject/conducts a research project;
- has not violated professional code of conduct or was not charged with a crime.

2. Associate Professor

While the Ministry of Health adds only two criteria, “seniority and international publication”, to the existing criteria for an assistant professor to be promoted to associate professor, the Ministry of Agriculture, Forestry and Fisheries requires more qualifications and involvements in academic activities, such as participation in the conferences, for promotion from assistant professor to associate professor as seen in the following table.

Figure 13: Criteria for promotion of assistant professors

Criteria for Associate Professor	
Agriculture	Health
has served at least four years as assistant professor or five years as a part-time teacher	has been as assistant professor for five years
has published three articles in a local academic journal (as the first author) and two articles in an international academic journal	has had some publications in international journal
has been a speaker at international conferences at least two times, or four times to present a visual presentation	
has compiled relevant documents	
has supervised students' thesis	
has not violated professional code of conduct or was not charged with crime	

Source: Sub-decree (2011) and Sub-decree (2010)

The criteria for promotion from an assistant professor to an associate professor for all fields prepared by the MoEYS are not different from the ones in agriculture HEIs. However, the former do not specify

details. The criteria for becoming an associate professor in all fields prepared by the MoEYS are:

- has served at least four years as assistant professor
- has been a speaker or shown posters at international conferences
- has published articles in local and international academic journals
- was involved in preparing course books in his/her specialty
- has currently been teaching one subject/conducting a research project
- has not violated professional code of conduct or was not charged with a crime

3. Professor

The Ministry of Health adds only two points to the existing criteria for promotion from associate professor to professor, but the promotion from associate professor to professor in agricultural HEIs is stricter. The Ministry of Agriculture, Forestry and Fishery requires more publications and involvements in academic activities, such as participation in conferences. Both ministries require more international academic engagement.

Figure 14: Criteria for promotion of assistant professor

Criteria for professor	
Agriculture	Health
has served at least five years as 'associate professor' or six years as a part-time teacher	has worked as associate professor for five years
has published four articles in local academic journal (as the first author) and three articles in international academic journals	has had three publications in international journals
has been a speaker at international conferences three times, or six times to present a visual presentation	
has not violated professional codes of conduct or was not charged with crime	

Source: Sub-decree (2011) and Sub-decree (2010)

Again, the criteria for being a professor for all fields, prepared by MoEYS, do not describe the details, but one outstanding criterion that has not been specified by the Ministry of Agriculture, Forestry and Fishery and the Ministry of Health is the requirement for the candidate to hold a doctoral degree. Criteria for becoming a professor in all fields prepared by MoEYS are:

- holds a doctoral degree;
- has served at least five years as associate professor;
- has been a speaker or shown posters at international conferences;
- has published in local and international academic journal;
- involving in preparing course-books in his/her specialty;
- has not violated professional codes of conduct or was not charged with a crime.

Percentage points of each criterion

The secretariat of the National Committee for Academic Promotion which has the responsibility for facilitating the formulation of assessment criteria has not yet been established. Actually, in the Royal Decree, the National Committee for Academic Promotion has not only its own secretariat, but also the right to establish a technical committee for helping to formulate assessment criteria as well as the selection process to ensure the transparency and accountability to the academic community. However, the delay in the establishment of secretariat leads to the absence of the technical committee.

Timeframe for Academic Promotion

The promotion exercise is to provide staff with proven excellence in their related field and those who are suitable for an advanced position the opportunity to grow in their careers. Each education system has different models; some countries do not have a predetermined vacancy post policy, and in some others the vacancy post is announced by either the government or by the universities. In Cambodia, every year the number of new academic positions for promotion is centrally determined. In agriculture and health, the number of new academic positions at each level for promotion is issued in a Prakas (Declaration) by the appropriate minister. The number of new academic positions for

promotion is issued by the Prime Minister through a proposal from the National Committee for Academic Promotion.

Entity for Authorization

In previous practices at the MoAFF and MoH, the prime minister appointed candidates to be assistant professor, associate professor and professor through a sub-decree. Since the Royal Decree was adopted, new academics at all positions are appointed by the King at the request of the National Committee for Academic Promotion. Adopted in 2013, the Royal Decree spells out clearly that the MoAFF and the MoH will no longer have the authority to propose academic promotion. Yet, the Royal Decree states that those who already gained promotion can remain in their academic positions if they wish to do so. However, if they would like to be appointed by the King, they need to resubmit their application to the National Committee for Academic Promotion.

Procedures for Academic Promotion

With the suggested policy for academic promotion, the teaching staff can be promoted based on merit, as demonstrated through a transparent and rigorous process. This is consistent with the recognition of equal opportunity. It also provides applicants with the chance to outline achievements relative to their particular circumstances. It also focuses on the holistic recognition of the quality, productivity and impact of staff achievements in research/creative activity, education, service and leadership as demonstrated through various forms of evidence.

There are two levels of administration for academic promotion: national and institutional. Selection is done by the National Committee for Academic Promotion through a proposal made by its secretariat.

- Deputy Prime Minister (president)
- Minister of MoEYS (permanent vice-president)
- Three secretaries of state (vice-presidents) from
 - Council of Ministers
 - Ministry of Education, Youth and Sports
 - Ministry of Labor and Vocational Training
- Two representatives from the ministries concerned

- Three professor representatives concerned (nominated by the ministries concerned)

In the new Royal Decree, the National Committee for Academic Promotion has the right to set up an Examination Committee to review application forms, while in the agriculture and health sector the leaders of the HEIs propose their own committee to the National Committee for Academic Promotion at MoAFF and MoH for approval. Currently, the National Committee for Academic Promotion has not yet been established. In health and agriculture HEIs, there are seven members on the selection committee for assistant and associate professor positions, and five members for professorships, in which two members are invited from outside the HEIs or from overseas.

In the health sector, at the institutional level, teaching personnel who want to apply for promotion must fill in a form developed by the National Committee for Academic Promotion located at MoH and submit it to the selection committee at that institute for assessment. After the decision is made, the selection committee will send the assessment results to the National Committee for Academic Promotion in the health sector for approval.

At the institutional level of HEIs under the MoEYS, the teaching personnel who wish to apply for promotion must fill in a form and submit it to the secretariat of the National Committee for Academic Promotion.

For an appeal mechanism, the candidate can make an appeal to the National Committee for Academic Promotion if he/she is not satisfied with the results of evaluation, but it is the evaluation committee that has the final say.

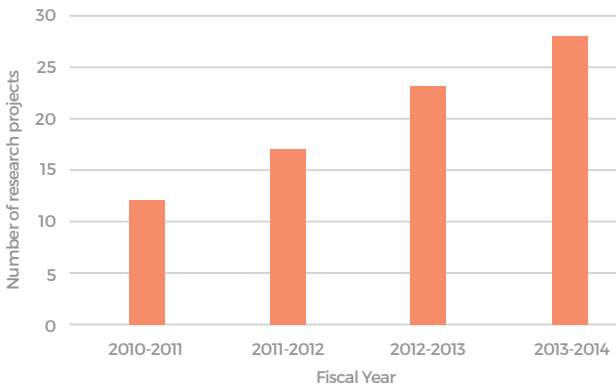
Example from a Public Higher Education Institution: Institute of Technology of Cambodia (ITC)

The Institute of Technology of Cambodia (ITC) is one of the HEIs established in the 1960s. From its inception in 1964 to 1975, it was named as the *Institut de Technologie Supérieur des Amétiérs Khméro Soviétique*. For thirty years of its history, the Institute took several names and, since 1994, it has been called the “*Institute of Technology of Cambodia*”.²⁴

²⁴ “Background of Institute of technology of Cambodia”

Given the lack of a central coordination procedure and the intensification of regional and international integration, some universities working with foreign partners have attempted to introduce institutional reform, focusing on how to incentivize the faculty members to actively participate in academic activity, especially research. This tendency is seen at the Institute of Technology of Cambodia. With various support and cooperation from its partners, the ITC has had a number of research projects.

Figure 15: Numbers of research projects in each academic year



Source: Hul Seingheng, Director of Research Office at ITC, 2014

The teaching staff at ITC in the 1990s received a salary from the government and extra ITC function benefits from external sources, such as the Agence Universitaire de la Francophonie (AUF), Commission Universitaire pour le Développement (CUD), the French embassy, and now from the student tuition fees.²⁵

Currently, the ITC has 106 administrative staff and 157 faculty members, many of whom graduated from abroad, especially France; however, few faculty members have become lecturer/researchers. The table below shows the number of lecturer/researchers in each academic year after the Statute for lecturer-researchers was issued in 2010.

²⁵ From a slide by Dr. Hul Seingheng on “Engineering Education and Research Development at Institute of Technology of Cambodia”

Figure 16: Number of Lecturer-researchers in each academic year

Academic Year	Numbers of Lecturer/Researchers
2010-2011	5
2011-2012	14
2012-2013	11
2013-2014	16

Source: Hul Seingheng, Director of Research Office at ITC, 2014

The statute for lecturer-researchers was made with the aim of promoting and encouraging scientific research. Those faculty members who wish to be scientific researchers need to apply to the Scientific Council of ITC, which consists of the Director of the Board of ITC, head of department, research coordinator at each department and members of an international consortium of ITC (Statue of lecturer/researchers of ITC, 2010).

To facilitate research performance, each department at ITC has allocated a certain amount of time for research activities. In a year, it is estimated there are 9,000 hours for research at ITC.

As a scientific researcher, the faculty member receives not only a teaching load reduction but also other incentives such as a regular monthly salary, encouragement and an appreciation bonus once his/her research findings are accepted for publication. Performance is annually reviewed.

In order to encourage more vigorous research and promote faculty members, the ITC is in the process of drafting a policy for academic promotion for full-time researchers, in which a teaching load is not required.

Conclusion

Academically, the desire for a full professorship encourages teaching staff to work harder and more efficiently, which contributes to a better quality of education.

In the Cambodian context, a real academic culture needs to be in place. Brooks and Ly (2009) conducted their study at the Royal University of Phnom Penh and indicated that this need is huge in terms of Cambodia's pressing need for academics trained in an academic culture

and who understand the mentoring/advising role of the senior faculty members in any institution.

Certainly, Cambodia needs senior-level and well-educated academics in their fields, thesis supervisors who can work alongside younger staff members, and advisors for department heads and deans – in short, Cambodia needs a model for the next generation.

Currently, the condition for a professor in Cambodia is not very strict, as it does not require much of an international dimension, a Ph.D. degree or full-time engagement with the university. In some countries, promotion to a professor status requires not only publications and speeches at national conferences but also an invitation as a keynote speaker, leadership in a professional association, job as an editor of a journal and participation in international research cooperation. The Ph.D. degree usually serves as the common criterion for evaluation, and full-time engagement with the university is also a usual requirement.

It has been suggested that as the Ministry of Education, Youth and Sport is undertaking reforms in higher education, especially regarding autonomy. The process of granting professorships should be carried out by individual HEIs, although none of the individual HEIs have adopted a policy on professorship yet.

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**ACADEMIC PROMOTION
OF HIGHER EDUCATION
TEACHING PERSONNEL
IN HONG KONG**

**Roger Chao Jr.
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CONTEXT AND BACKGROUND OF ACADEMIC PROMOTION

HONG KONG's historical development, including its British colonial heritage and its return to Mainland China, its reputation as an international business, finance and education centre, and it being the gateway between Mainland China and the rest of the world have influenced its higher education system, structure, and policy directives. These include higher education governance structures, increasing access and provision of public and private higher education, its directive to become a regional education hub, and a shift in academic and faculty structures, which will have implications to academic teaching staffs' workloads, appointments and promotions, and their engagements in university governance.

In line with the changes observed in East Asian higher education (Altbach and Umakoshi, 2004; Altbach and Balan, 2007; Postiglione and Mak, 1997; Postiglione, 2002), Hong Kong's higher education system has undergone expansion, increased research output, and has been increasingly focused on the race for world class status. It has also been accompanied by massive state investment, increased internationalization, privatization, the intensification of market forces and the use of managerialism in higher education governance (Chapman, Cummings and Postiglione, 2009; Postiglione and Wang, 2011).

Initially shaped by its British colonial heritage, Hong Kong's higher education sector is internationally recognized for its academic freedom, teaching and learning, and research, and its higher education qualifications (particularly the University Grants Committee (UGC) funded higher education institutions) are accepted across the world.

In fact, three UGC-funded universities, University of Hong Kong, Hong Kong University of Science and Technology and the Chinese University of Hong Kong, are ranked in Times Higher Education's top 200 universities worldwide. Two additional universities, City University of Hong Kong and Hong Kong Polytechnic University, are ranked in the top 300 universities worldwide based on the latest QS rankings.

Hong Kong's UGC-funded higher education institutions have become a magnet for international academics, witnessed by its high percentage of international faculty across its UGC-funded institutions. International faculty are attracted to UGC institutions because of their internationally competitive compensation packages (facilitated by the deregulation of university pay from civil service pay since July 2003) and the opportunity to conduct research on Asia-related (particularly China) issues.

In fact, faculty remuneration in Hong Kong consists of a market and performance-based review linked to salary and salary increases, discretionary cash allowances, and in some cases a sign-on/golden handcuff bonus for key high profile international scholars. Cash allowances are discretionary, market and performance-based, and are not dependent on needs. Furthermore, they tend to be fixed for a definite period (tied with contract duration or every three years on substantiation status), renewable and reviewed at the end of each period.

Given Hong Kong's internationalization directives, the impact of marketization, and development of its higher education sector, academic promotion in Hong Kong has been changing to incorporate international practices characterized by a performance-based system focused on research, teaching and service. The high level of institutional autonomy among the UGC-funded higher education institutes (HEIs) may result in divergent academic hiring and promotion practices across institutions and even within institutions. In fact, the assessments of research outputs in different UGC-funded HEIs tend to differ in terms of accepting book chapters, monographs, policy papers, and non-indexed research articles as a faculty's research output. The general trend of international benchmarking, performance-based criteria, an increased focus on research outputs, and the use of various assessment procedures, however, tends to hold across these institutions.

Initial faculty appointments are usually granted a three-year fixed-term with an end of contract gratuity. Substantiation is required by the end of six years from the date of initial appointment. Gratuity is usually computed at fifteen percent of basic salary (excluding any allowances) earned during the employment period, less the aggregate amount of the university's contribution, as employer, to the Mandatory Provident Fund Schemes Ordinance over the period of service.

Academic promotion and substantiation are assessed at three different levels, namely, department, school/faculty, and institutional levels. Performance-based criteria are strictly followed, especially in research outputs and the ability to acquire research grants. In fact, if a faculty has not acquired research funds and produced the required quantity of quality research output within the designated time frame the renewal of their contract is not even considered. Substantiation ensures continuous employment until the mandatory retirement age of 60 or 65, depending on the institution, or 30 years of service whichever comes first.

Governance in Hong Kong's higher education system

In line with Hong Kong's 'big market small government' policy and the global business discourse of efficiency, quality and accountability, governance of Hong Kong's higher education is often described as a top-down management style with high levels of institutional autonomy where government only exerts a moderate influence on public universities (Postiglione and Wang, 2011). The rise of managerialism worldwide, however, has weakened the influence of the faculty within Hong Kong's higher education shared governance system which has been typical for decades (Mok and Welch, 2003; Tai, Mok and Tse, 2002). As such, the professional practices, including a strong regard for academic freedom, occurring within Hong Kong's public HEIs are actually managed within a top-down governance structure (Postiglione and Wang, 2011).

Due to this management style, Hong Kong faculty members report a lack of communication with administration, feel less likely to be informed about what is going on in their institutions, and see relatively little opportunity to engage in policy-making, especially at the school/faculty and institutional levels. Their modest confidence in the

competence of administrative leadership, however, has been rising, and decisions about appointments and allocation of resources are perceived to be highly performance-based (Postiglione and Wang, 2011).

The University Grants Committee, which is an advisory body composed of academics and non-academic professionals from Hong Kong and overseas, emphasizes business-oriented values and facilitates a series of quality assurance measures that link resource allocation directly to performance of UGC-funded HEIs (Postiglione and Wang, 2011). These are done through the Research Assessment Exercise (RAE), the teaching and learning quality process review (TLQPR), and the establishment of the Research Grants Council which allocates additional research funding on a competitive basis to UGC-funded HEIs.

The expansion of the higher education sector in 1989 and the SARS epidemic not only facilitated increased funding in publicly funded higher education, but also pushed HEIs to become more active in fundraising, with the Hong Kong government giving matching grants. Furthermore, the 1997/98 Asian Financial Crisis led to a cut in the budget for higher education, and an expansion of private community colleges. These facilitated a more intensified focus on quality, efficiency, financial accountability and a more market-driven approach to research and instructional services (Postiglione and Wang, 2011).

Increasing access and provision to higher education

Following the establishment of the University of Hong Kong and the Chinese University of Hong Kong in 1911 and 1963, respectively, provision for public higher education dramatically improved with the establishment of the polytechnics and post-secondary colleges (e.g. City University of Hong Kong, Hong Kong Polytechnic University, Hong Kong Baptist University and Lingnan University) in the mid-1980s, which were subsequently converted into universities in the 1990s. Aside from the establishment of new public HEIs, the proliferation of private degree granting HEIs, and the self-financing subsidiaries of the UGC-funded higher education institutions significantly increased the provision of higher education places in Hong Kong.

As of October 2014, there are nineteen degree awarding HEIs—up from eleven in 2002. Locally-accredited sub-degree programme

providers (including those by degree awarding HEIs) have increased from nineteen in 2002 to twenty-four in 2012 (see Table 1). There are two tiers of degree-awarding HEIs in Hong Kong. Tier 1 is defined as institutions offering research postgraduate programmes for a significant number of students in selected subject areas, and tier 2 as those offering taught and research postgraduate programmes in selected subject areas (Postiglione and Wang, 2011).

The University of Hong Kong, Chinese University of Hong Kong, and Hong Kong University of Science and Technology are tier 1 institutions, while the remaining UGC-funded HEIs are classified as tier 2 institutions. The other degree-awarding HEIs are also tier 2 institutions, but are significantly smaller and are focused on teaching. Furthermore, as of 30 September 2014, there are 1,186 non-local (466 registered and 720 exempted) courses²⁶ offered through various providers which helped absorb the domestic demand for higher education and reach the Hong Kong government's target of having 60 percent of the 17 to 20 age cohort in post-secondary education (Education Bureau 2014a).

Table 1: Hong Kong's 19 Degree Awarding Institutions

The 8 Publicly-Funded Institutions through the University Grants Committee	
City University of Hong Kong	The Hong Kong Institute of Education
Hong Kong Baptist University	The Hong Kong Polytechnic University
Lingnan University	The Hong Kong University of Science and Technology
The Chinese University of Hong Kong	The University of Hong Kong
The 10 Self-Financing Institutions	
Caritas Institute of Higher Education	Hong Kong Nang Yan College of Higher Education
Centennial College	Hong Kong Shue Yan University
Chu Hai College of Higher Education	Tung Wah College

²⁶ Non-local courses offered by local providers are required to be registered unless they are collaborating with the degree-awarding HEIs where they are considered exempted non-local courses under the Non-local Higher and Professional Education (Regulation) Ordinance effective 1997.

Hang Seng Management College	Technological and Higher Education Institute of Hong Kong, Vocational Training Council
HKCT Institute of Higher Education	The Open University of Hong Kong

Publicly Funded Institution

Hong Kong Academy for Performing Arts

Source: <http://www.edb.gov.hk/en/edu-system/postsecondary/local-higher-edu/institutions/index.html>

As of 2013-2014, a total of 14,600 first-year-first-degree (FYFD) places were provided by the Hong Kong government through the eight UGC institutions. UGC-funded institutions also provide around 2,000 senior year undergraduate intake places for sub-degree programme graduates and students with other relevant qualifications. It should be noted, however, that these publicly funded places will still need to pay fifty percent of the tuition and accommodation fees.

In fact, Hong Kong has the Student Financial Assistance Agency (SFAA) administering various students financial assistance schemes to ensure that no qualified student will be denied access to tertiary education due to financial reasons. Furthermore, starting in 2008, the HKSAR Government Scholarship fund also provides scholarships to outstanding local and non-local students as one of the measures to develop Hong Kong into a regional education hub (Education Bureau 2014b).

This increased participation rate was brought about by a number of factors including Hong Kong's growing prosperity, its expansion in the 1960s and 1970s which provided universal primary and secondary education, the expansion of publicly funded higher education institutions, and the growth of private higher education over the past decades.

Along with studies abroad, increased provision facilitated the increased participation in Hong Kong higher education from one to two percent in the mid-1970s to its current rate of eighteen percent of the 17-20 age cohort based in UGC institutions, and roughly sixty percent in the entire higher education sector.

The latest UGC statistical data (Table 2) shows that total student enrollment increased from 73,552 in 2009/10 to 95,456 in 2013/14.

The shift from a three to four year undergraduate programme, which started in 2012/13, is the primary reason for the sudden and significant increase in student enrollments across the UGC-funded HEIs as seen in Table 3. Of these numbers, total non-local students account for 9,333 (12.69 percent) in 2009/10 and 14,512 (15.20 percent) in 2013/14.

Furthermore, the distribution of sub-degree, undergraduate, taught postgraduate and research postgraduate of the total student enrollment in UGC-funded HEIs has changed from 9.53 percent, 76.97 percent, 4.91 percent and 8.60 percent in 2009/10 to 7.12 percent, 81.94 percent, 3.59 percent and 7.35 percent in 2013/14, respectively. In fact, FYFD student enrollments (full-time equivalent) in UGC-funded HEIs (Table 3) have actually increased from 15,729 in 2009/10 to 17,089 in 2013/14, while senior intake increased from 2,146 to 3,303, respectively.

Lastly, the distribution of student enrollment in UGC-funded HEIs by academic programmes (Table 4) shows an increasing trend towards medicine, dentistry and health, sciences, social sciences, arts and the humanities, while engineering and technology, business and management, and education have been decreasing since 2012/13. The recent shift in the distribution in student enrollment by academic programmes may have been influenced by Hong Kong's higher education shift in academic structure (as discussed later in this section), which increased its focus on liberal education. Further studies need to be undertaken to validate this trend as the possibility of students shifting to another major after their first or even second year of undergraduate education remains a possibility. However, it is likely that this recent trend will impact future hiring and promotion decisions for academics in Hong Kong.

Table 2: Student head count (UGC Funded HEIs)

	2009/10	2010/11	2011/12	2012/13	2013/14
Total enrollment	73,552	74,588	75,597	93,394	95,456
Sub-Degree	7,009	6,983	6,927	6,503	6,797
Undergraduate	56,610	57,565	58,412	76,351	78,219
Taught Postgraduate	3,611	3,578	3,686	3,721	3,426
Research Postgraduate	6,322	6,482	6,572	6,819	7,014
Total Non-Local	9,333	10,074	10,770	13,661	14,512

Mainland China	8,429	8,724	8,936	10,963	11,376
Asia (less Mainland China)	596	950	1,355	2,105	2,494
Rest of the World	308	400	478	593	642

Source: UGC statistical data

Table 3: FYFD student head count (UGC Funded HEIs)

	2009/10	2010/11	2011/12	2012/13	2013/14
Student Enrollment (full-time equivalent)	15,729	15,960	16,354	33,073	17,089
Senior Intake	2,146	2,200	2,288	2,724	3,303

Source: UGC statistical data

Table 4: Student Enrollment by Academic Programmes (UGC Funded HEIs)

Head count (% of total)	2009/10	2010/11	2011/12	2012/13	2013/14
Total Enrollment	73,552	74,588	75,597	93,394	95,456
Medicine, Dentistry and Health	6,780 (9.22%)	7,048 (9.45%)	7,389 (9.77%)	9,742 (10.43%)	10,081 (10.56%)
Sciences	11,844 (16.10%)	12,031 (16.13%)	12,247 (16.20%)	15,486 (16.58%)	16,300 (17.08%)
Engineering and Technology	14,786 (20.10%)	14,818 (19.87%)	15,076 (19.94%)	17,952 (19.22%)	17,533 (18.37%)
Business and Management	14,171 (19.27%)	14,181 (19.01%)	14,013 (18.54%)	17,243 (18.46%)	17,060 (17.87%)
Social Sciences	9,423 (12.81%)	9,571 (12.83%)	9,580 (12.67%)	12,108 (12.96%)	12,651 (13.25%)
Arts and Humanities	9,613 (13.07%)	9,611 (12.89%)	9,677 (12.80%)	12,439 (13.32%)	13,423 (14.06%)
Education	6,935 (9.43%)	7,330 (9.83%)	7,614 (10.07%)	8,424 (9.02%)	8,408 (8.81%)

Source: UGC statistical data

Regional education hub

In 2002, UGC (2002) advanced the idea of making Hong Kong a regional education hub, a term that later appeared in the Chief Executive's 2004 policy address that promoted Hong Kong as a "World City" (Chief Executive of Hong Kong, 2004). It aimed to take advantage of Hong Kong's internationalized higher education, its strong links with Mainland China and its competitive advantage as a global centre for China-related studies, supporting the needs and benefits of further integration, more engagement and awareness with and about Mainland China (University Grants Committee 2010: 69-70). As such, the regional education hub directive should be seen in terms of Hong Kong's need to sustain its economic growth, recruit skilled and competent manpower and further integrate with Mainland China (Chao, 2012).

In fact, Hong Kong's ability to attract a steady supply of skilled, competent and educated domestic and foreign talent, foreign investments, and nurture entrepreneurs, is tied to its ability to benefit from its social, economic and political ties with Mainland China, the world's second largest economy. As such, absorbing the domestic demand for higher education, attracting foreign students and faculty, and offering a favorable environment for students, employees, and foreign enterprises are deemed essential for Hong Kong, and the regional education hub directive is one of the key strategies to achieve the above objectives.

Shift in academic and faculty structures

Over the past decade, however, Hong Kong higher education has shifted towards the American academic model, including the undergraduate degree structure, credit unit system, faculty ranks, and the incorporation of liberal arts courses as part of the degree requirement. The education system with six years of primary, three years of junior secondary and three years of senior secondary education, followed by a four-year undergraduate degree, aligns Hong Kong's academic structure with both the US and Mainland China. Although Hong Kong's Education Bureau – Curriculum Development Institute (2010) states that the rationale for incorporating a more liberal education is that it democratizes access to higher education, we need to look deeper to see if it does serve that purpose or if there are other rationales for such development.

Furthermore, Hong Kong universities faculty ranks and structure have also shifted from the British academic structure (e.g. lecturer, senior lecturer, reader, professor) to a more American academic structure (e.g. assistant professor, associate professor, professor, chair professor). Following international higher education trends, there has been an increasing focus on research productivity, outcomes-based teaching and learning, the use of student-based teaching evaluations, and community (e.g. administrative and community-based) service.

It should be noted, that Hong Kong's new academic system was preceded by its directive to become a regional education hub in the 2002 and the 2004 memoranda of mutual recognition of degrees between Mainland China and Hong Kong (Education Bureau, 2004). As such, it can be suggested that Hong Kong's regional education hub directive and the shift in academic and faculty structures are focused on a strategic alignment with Mainland China's higher education system rather than just a drive for increased internationalization with Hong Kong's commercial, economic, political and social interests in mind (Chao, 2012).

Faculty and working conditions

The international faculty of UGC HEIs has been acknowledged to be a key strength, especially in terms of Hong Kong's internationalization initiatives and its drive to become a regional education hub (University Grants Committee 2010). In fact, UGC (2010) asserts that a good mix of academics (those who earned their doctorates abroad, those who worked in universities abroad and those whose ethnic origins are not in Hong Kong) is needed by Hong Kong and encourages its UGC-funded HEIs to maintain its international mix of faculty. However, the hiring of academic staff is still done on the basis of merit. There are no policies for preferential hiring of overseas academic staff aside from having no barriers to hiring foreign academics. The international experience, natural insertion into international networks, and its ability to serve as an immediate example of internationalization within Hong Kong's higher education sector were the three reasons presented as immediate benefits of an international faculty and seen as a precursor to the creation of an internationalized learning environment.

In the same report, UGC recognized the challenges of maintaining an international mix of academics given the highly competitive

international market for academics, and understood the need to offer terms and conditions of academic employment similar to those in other countries, including the level of salaries and housing allowances. It specifically mentioned that the delinking of university salaries from civil service in 2003 was done to facilitate increasing the attractiveness of UGC-funded HEIs to international academics who are perceived to help raise the institutions international reputation and their ability to attract non-local students. On the other hand, this also creates a very competitive performance-based work environment and promotion system where only the best performers attain tenure in the some of the world's best universities. Recent years have seen a growing obstacle to the hiring of international academic staff, namely, the astronomical price of living accommodations, with Hong Kong ranked second in the world after Monaco in terms of the cost of accommodations. Furthermore, beginning in September 2014, the blocking of streets in the central financial district by the student democracy movement and clashes with police created new concerns about how this might affect the recruitment and retaining of international academic staff.

Given UGC's views on an international mix of faculty, an increasing number of Hong Kong academics have earned their doctorate in Hong Kong (Table 5). Nevertheless, those who earned their doctorates in the United States and the United Kingdom still constitute the bulk of the academic profession in Hong Kong. In fact, most of the academics who originated from Mainland China earned their doctorates in the United States (RIHE 2008, p. 230). A closer look into this phenomenon in relation to academic hiring starting from the mid-2000s could prove to be insightful to understand the UGC-funded sector's academic hiring policies and practices.

Table 5: Where Hong Kong Academics earned their Doctorates

	1993	2007
Hong Kong	10	25.7 to 26.5
United States	39	27.6 to 28.5
United Kingdom	27	20.7 to 21.5
Elsewhere	24	23.5 to 26
Number	(249)	(648 to 670)

Source: The Carnegie Foundation for the Advancement of Teaching, The International Survey of the Academic Profession, 1991-93, and CAP 2007 Survey Hong Kong (RIHE 2008, Table 1, p. 230)

Based on the latest UGC statistics (see Table 6 below), there are a total of 9,373 academic and research staff as of 2013-2014, distributed as senior academic staff (1,884), junior academic staff (3,227), academic supporting staff (2,568) and technical research staff (1,693), representing roughly 20.1 percent, 34.4 percent, 27.4 percent, and 18 percent of the total, respectively. Academic staff has increased by 5.19 percent (252 head count) from 2009/10 to 2013/14. As seen in Table 4, junior academic staff, however, remains at almost one-third (ranging 62.5 percent to 63.94 percent) of the total academic staff during the academic years 2009/10 to 2013/14. Furthermore, while the percentage of academic support staff to academic staff has increased from 45.71 percent in 2009/10 to 50.24 percent in 2013/14, the percentage of technical research staff to academic staff has actually deteriorated from 40.79 percent to 33.12 percent during the same period.

Given the competitive nature of Hong Kong's higher education, it is not surprising that its academic staff report relatively high workloads in teaching, research, administration, and service activities. According to the CAP 2007 study, the average working hours of Hong Kong academics are 52 hours and 50.2 hours when classes are in session and not in session, respectively (RIHE 2008, p. 233). Based on the study, an average of 19.9 hours and 7.6 hours are allocated for teaching, 16 hours and 25.7 hours are allocated for research, and 8.5 hours and 8.6 hours are allocated to administration when classes are in session and not in session, respectively. Furthermore, an average of 4 hours and 4.4 hours are allocated to service-oriented activities when classes are in session and not in session, respectively. The total working hours reported are generally higher than most of the counterparts in the other countries surveyed.

The shift in academic structure from a three to four-year undergraduate programme and the increase in undergraduate student enrollments also have implications on the hiring and promotion of academic staff. Table 6 also shows that total academic staff in UGC-funded HEIs increased from 4,834 in 2011/12 to 5,094 and 5,111 in 2012/13 and 2013/14, respectively. Furthermore, there was an increase of 79 and 47 in senior academic staff in 2012/13 and 2013/14, respectively, representing promotions (after accounting for retirements) given the 260 and 17 increase in total academic staff in the same period. In fact, the reduction of 30 junior academic staff in 2013/14 further confirms the promotions

and the effect of the shift in academic structure in the hiring and promotion of academic staff in UGC-funded HEIs.

Table 6: Academic and Research Staff of UGC HEIs (wholly funded by General Funds)

	Academic Year				
	2009/10	2010/11	2011/12	2012/13	2013/14
Total	9,062	8,642	8,460	9,088	9,373
Senior Academic Staff	1,753	1,790	1,758	1,837	1,884
Junior Academic Staff	3,106	2,995	3,076	3,257	3,227
Total Academic Staff	4,859	4,785	4,834	5,094	5,111
Academic Supporting Staff	2,221	2,057	2,070	2,488	2,568
Technical Research Staff	1,982	1,800	1,556	1,506	1,693
Total Academic Support and Technical Research Staff	4,203	3,857	3,626	3,994	4,261

Source: latest UGC statistical data

Table 7: Distribution of Academic, Technical and Research Support staff (UGC Funded HEIs)

% increase (decrease)	2009/10	2010/11	2011/12	2012/13	2013/14
Academic Staff		(1.53%)	1.02%	5.38%	0.33%
Jr./total Academic Staff	63.92%	62.59%	63.63%	63.94%	63.14%
Academic Support/ Academic Staff	45.71%	42.99%	42.82%	48.84%	50.24%
Technical Research/ Academic Staff	40.79%	37.62%	32.19%	29.56%	33.12%

Source: calculations by authors based on UGC statistical data

Institutional autonomy

Notwithstanding the above-mentioned developments in Hong Kong's higher education sector, UGC-funded HEIs in particular have a high level of institutional autonomy. In fact, UGC's intermediary role between government and the governing bodies of UGC-funded HEIs does not impede their institutional autonomy aside from the consideration of funding dependence.

Each of the eight UGC-funded HEIs is a statutory autonomous corporation with their own ordinance (see Table 8), which may only be amended by the legislative council of Hong Kong. These ordinances provide for the governing structure, the vesting of particular powers and functions in the officers, the establishment of faculties and institutes, the appointment and termination of staff, and the power to confer degrees and to make statutes (or rules) for the institutions (University Grants Committee, 2010; Chau, 2007).

Although the above-mentioned ordinances differ in scope and content, each of the eight UGC-funded HEIs has a council as the supreme governing body with a court performing in an advisory role and a senate regulating academic matters. As such, UGC-funded HEIs have substantial autonomy, including in the selection of academic (and non-academic) staff, their promotion, substantiation and remuneration, the acceptance and rejection of students, institutional governance and management, and the determination of curricula and setting of standards.

Table 8: UGC-funded HEIs ordinances

City University of Hong Kong Ordinance (Cap. 1132)
Hong Kong Baptist University Ordinance (Cap. 1126)
Lingnan University Ordinance (Cap. 1165)
The Chinese University of Hong Kong Ordinance (Cap. 1109)
The Hong Kong Institute of Education Ordinance (Cap. 444)
The Hong Kong Polytechnic University Ordinance (Cap. 1075)
The Hong Kong University of Science and Technology Ordinance (Cap. 1141)
University of Hong Kong Ordinance (Cap. 1053)

Source: Chau, 2007

Although constrained by financial dependence on the public purse, their ability to set up self-financing subsidiaries and affiliates, receive donations, engage in public-private partnership, engage in entrepreneurial activities (such as the commercialization of knowledge, and establishing spin-off enterprises) and offer consultancy services to industry and other organizations reduce their financial dependency on government funding. Furthermore, institutional autonomy even extends to the use of government funding with its system of triennial budgeting where UGC-funded HEIs have the discretion to deploy

government subvention and fee income as they see fit, subject to proper accountability (Chau, 2007). As such, each UGC-funded HEI, rather than the government or UGC determines its own criteria for promotion, subject to their individual needs and financial constraints. Furthermore, schools/faculties and departments can develop their own criteria for performance reviews and assessments to supplement those advanced at the university level.

Although the University of Hong Kong, Hong Kong University of Science and Technology, and City University of Hong Kong (and probably the other UGC-funded HEIs) have implemented an annual performance review process as part of its performance-based remuneration, promotion and substantiation process, it should be noted that this is due to their benchmarking to international practices and approved by their respective university councils. In general, the forty percent teaching, forty percent research and twenty percent service allocation for performance assessment holds across the UGC-funded HEIs.

The above presented context and development of Hong Kong's higher education, especially in the UGC-funded sector, has ensured the protection of academic freedom, increased access and participation in higher education, and enhanced the internationalization of Hong Kong's higher education sector. Its governance structure, which grants high levels of institutional autonomy to UGC-funded HEIs, the shift in its academic structure and faculty ranks, and its focus on internationalization and becoming a regional education hub have helped drive four of Hong Kong's UGC-funded HEIs (University of Hong Kong, the Chinese University of Hong Kong, the Hong Kong University of Science and Technology, and City University of Hong Kong) into the top 200 of the Times Higher Education world rankings in September 2013 (Postiglione, 2014).

NATIONAL/SYSTEM POLICY OBJECTIVES AND THEIR IMPACT ON ACADEMIC PROMOTION

AS DISCUSSED above, Hong Kong's current national policy goals include the internationalization of its higher education sector, establishing itself as a regional education hub, shifting its academic structure from a three-year to a four-year undergraduate structure with a focus on liberal and general education, and establishing its niche in the global higher education by having world class universities. Increased competition in the global higher education market and Hong Kong's need to ensure an ongoing supply of skilled and competent human capital have forced its hand in ensuring increased participation, internationalization, and joining the race for world class universities. In fact, UGC objectives, which are stated in its website and presented below, confirm the above-mentioned policy goals.

- a. Sees Hong Kong's higher education sector serving as the "higher education hub in the region" driving forward the economic and social development of Hong Kong, in the context of our special relationship with Mainland China and the region;
- b. Takes a strategic approach to Hong Kong's higher education system, by developing an interlocking system where the whole higher education sector is viewed with one force, with each institution fulfilling a unique role, based on its strengths;
- c. Works with institutions to ensure that each provides quality teaching in all areas relevant to its role;
- d. Aims to promote "international competitiveness" where it occurs in institutions, understanding that all will contribute

to this endeavour and that some institutions will have more internationally competitive centres than others; and

- e. Values a role driven yet deeply collaborative system of higher education where its institution has its own role and purpose, while at the same time being committed to extensive collaboration with other institutions in order that the system can sustain a greater variety of offerings at a high level of quality and with improving efficiency.

Source: <http://www.ugc.edu.hk/eng/ugc/policy/policy.htm>

UGC-funded HEIs are governed and funded based on performance-based assessments taking into consideration international benchmarks and increasingly focused on research productivity, internationalization and teaching efficiency. At the UGC level, the RAE and the TLQPR are increasingly linked to quality reviews of UGC-funded HEIs, and have implications to their funding. At the institutional level, assessment exercises, such as student teaching and learning assessments and peer review of teaching, are becoming a mainstay of institutional level assessment exercises and have implications to individual faculty promotions and substantiation decisions.

Internationalization of faculty has shifted to incorporate a focus on senior Chinese diaspora, diversification of ethnic background, the geographical location of their doctorate studies, and an increasing trend of faculty who finished their doctorates in Hong Kong. International collaboration in research and increased international networking has also been encouraged to increase the international profile of the Hong Kong higher education sector especially for UGC-funded HEIs.

Essentially, national policy objectives can be summarized as the establishment of an inter-locked international higher education system of world class quality with increasing effectiveness of resource utilization to support Hong Kong's economic and social development. In terms of academic hiring, promotions and substantiation, this translates to institutional resource capacity which involves resource allocation from government, their ability to attract research funds from the public and private sectors (locally and internationally), their self-funding arms, and private sector philanthropy. Institutional autonomy across the UGC-funded HEIs also ensures their ability to price remuneration of faculties based on their qualifications and reputation, taking advantage

of their respective institutions international reputation, resource capacity, and requirements in relation to their respective missions and objectives.

Mapping significant issues related to academic promotion

Given Hong Kong's reputation for transparency and accountability, Hong Kong's UGC-funded HEIs have been very transparent in terms of individual rights and freedoms, the faculty and staff's conditions of employment, promotions, and remuneration. Information is usually presented in the institution's intranet, and in various seminars conducted to inform new faculty of their respective university's policies and regulations, including academic appointments, promotions and substantiation. Furthermore, a handbook, guideline and/or manual have been developed and distributed to university faculty and staff providing increased transparency of their individual roles and responsibilities, and the various appointment, promotion and substantiation procedures, the criteria used, timelines, and the grievance mechanisms available.

According to the CAP 2007 study, male faculty make up the majority of Hong Kong HEIs with 67.3 percent men and 32.7 percent women. Although the proportion of women faculty in Hong Kong has been increasing from 24.6 percent in 1993, 28.6 percent in 1999, and 32.7 percent in 2007, men are four times more likely to be full professors (RIHE 2008, p. 231). A review of promotion guidelines of four UGC-funded HEIs (HKU, HKUST, CityU and HKBU) does not show discrimination based on gender. Formal and informal discussions focused on gender issues in Hong Kong's higher education sector present the need to revisit gender-related working conditions and promotion procedures.

Hong Kong's Equal Opportunity Commission, which was set up in 1996, implements the territories various ordinances against sex discrimination, disability, family status and race, which came into force in 1996, 1997 and 2007, respectively, and promotes equal opportunities between men and women, including in the higher education sector. Given protections accorded by various Hong Kong legislations, it is safe to assume that terms and conditions of women, disabled and part-time workers remain decent, but their actual implementation towards real equality needs further study.

Managerial considerations

Reflecting Hong Kong's international reputation of professionalism and transparency, Hong Kong's UGC-funded HEIs operate on a high degree of professionalism and transparency. Procedures for appraisal, accountability, discipline and dismissal are explicitly presented in their respective intranets and faculty/employees handbooks, while grievance mechanisms are also in place in the various UGC-funded HEIs.

With Hong Kong's HEIs well-endowed with resources to support professional practice in teaching and research, faculty members are satisfied with the physical resources (e.g. classrooms, laboratories, libraries, computers, and research equipment). Challenges in public funding and the increased focus on managerialism and efficiency, however, may have resulted in a decreased level of satisfaction as reported in the latest CAP 2007 study relative to its earlier surveys (RIHE 2008, p. 233-234).

STRUCTURE AND CRITERIA FOR ACADEMIC PROMOTION

THE ACADEMIC hierarchy in Hong Kong UGC-funded HEIs (Table 9) typically follows a linear career path starting with assistant professor progressing to associate professor and finally to the level of professor. A Ph.D. is required for all the above-mentioned positions. A range of minimum requirements differs at the various academic levels (Table 9). These requirements typically follow international minimum requirements in developed countries academic hierarchy which takes into consideration teaching, research and service related criterions.

The positions of lecturer and teaching fellow are used to accommodate Ph.D. candidates and recent Ph.D. graduates who want to focus solely on teaching, but who are usually not considered part of the academic progression track. On the other hand, the research assistant professor position, which requires a Ph.D., is solely focused on research activities and will need to progress within the normal academic track of assistant professor, associate professor, and professor, respectively.

Table 9: Typical academic career progression track in Hong Kong

Rank	Typical requirements	Promotion
Professor	High proficiency in teaching and research Significant contributions/impact on his/her field National/international leading scholar reputation (in addition to those of an Associate Professor)	

Associate Professor	Extensive successful evidence of teaching Scholarly/professional production/achievement in teaching and research (in additional to those of an Asst. Professor)	Within 3 to 6 yrs. of Asst. Professorship
Asst. Professor/ Research Asst. Professor ²⁷	Ph.D. Demonstrated promise of high level ability in teaching and research	2-3 yrs. initial appointment (6-7 yrs. max)
Lecturer/Teaching Fellow	Usually Ph.D. candidates/Ph.D. who want to focus solely on teaching	

Source: adapted from various UGC-funded HEIs staff handbooks

Criteria for academic promotion

As presented in Table 9, the minimum criteria for academic promotion are focused on teaching, research and service, and for the professor level a strong national and international scholarly reputation. For the assistant professor level, the focus is on teaching and research, with service taken as a plus factor. At the associate professor level, it is required that the applicant for promotion has demonstrated a high level of teaching and research which are normally based on teaching assessments and research productivity. Furthermore, the applicant's service to the general public, academic community and the university is also required to successfully be promoted to the associate professor level. Evidence of national and international scholarly reputation is needed for appointment to the professor level. It necessitates significant contribution to their field of specialization, evidence of excellent teaching, and service to society, university and the academic community. It is also typical to require three or four external assessments from key scholars in the applicant's respective field of specialization, especially during the substantiation process. A peer review process is also typical in the academic promotion process in Hong Kong.

Implications of evaluation criteria

The clear, structured, and transparent evaluation criteria, which are benchmarked against international academic promotion practices, support a highly competitive work environment for academic staff,

²⁷ Research Assistant Professor positions are only focused on research.

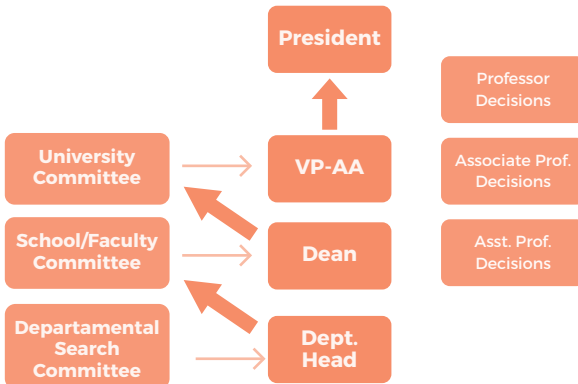
and facilitate the various UGC-funded HEIs capacity to achieve their missions. It also drives increased professionalism and performance in their academic faculty. Such a highly competitive work environment, however, tends to motivate high performers and demotivate the average and poor performers, especially with increased focus on research productivity as a basis for re-appointments, promotions and substantiation.

The annual assessments and the tedious tasks required in applications for promotions and substantiation may reduce faculty morale, especially when receiving negative feedback on their application. Depending on their respective institutions, these applicants may reapply for promotion and substantiation using the same documents subject to time limits (e.g. less than two years from last assessment) and key improvements in performance as in the case of the Hong Kong University of Science and Technology.

EVALUATION AND RECRUITMENT PROCEDURES

BASED ON the above-presented criteria, evaluation and recruitment procedures go through the typical academic appointment and promotion review process (Figure 1) with three committees. It starts with the departmental search committee and the department head giving his/her own assessment both of which will be submitted to the school/faculty committee. The dean decides on appointments for assistant professors based on his own assessment and recommendations of the departmental search committee, department head and school/faculty committee. For associate professor and above decisions, the earlier recommendations will be forwarded to the university committee, where the vice-president for academic affairs decides on associate professor levels, and forwards his own and earlier recommendations to the president for decisions on the professor level.

Figure 1: Typical Academic Appointment and Promotion



It should be noted that each of these three committees has a specific role, dependent on the institution. The appointing authority for the different academic levels may also differ per institution. At the Hong Kong University of Science and Technology, the appointing authority for the positions of assistant professor, associate professor and professor are the Dean, Vice-President for Academic Affairs and the President, respectively.

Due to the increased focus on internationalization, UGC-funded HEIs academic appointment and promotion practices have a tendency towards convergence. However, their terms and conditions, including remuneration and benefits, differ across institutions. It is noteworthy that lesser ranked UGC-funded HEIs tend to offer better remuneration and benefit packages to compensate for their lower ranking and in doing so attract key scholars.

Evaluation procedures

Hong Kong's UGC-funded HEIs evaluation procedures consist of a mix of peer review, external assessment, and key performance indicators on teaching, research and service. Although there are discussions on the relevance and effectiveness of the various assessment instruments used (especially student teaching and learning assessments), the evaluation procedures not only broaden the stakeholders engaged in the assessment, but also provide feedback for faculty, and insights for further quality enhancements in teaching, research and service. Furthermore, the multiple level assessment process (departmental, school/faculty and university levels) ensures a fair and objective assessment procedure which considers assessments by the applicant's peers in the approving authority's decisions.

The clear and transparent criteria used in the evaluation process already guides potential applicants in their career development. Annual performance evaluations further enhances the various UGC-funded HEIs feedback mechanism to potential applicants for promotion and substantiation. Lastly, the applicant's ability to acquire the relevant review documents and their right to appeal decisions enhances the transparency and professionalism in Hong Kong HEIs evaluation procedures for academic appointments, promotions and substantiation.

CONCLUDING REMARKS

WITHIN THE changing world order characterized by increasing globalization, the academic profession has been changing over the past decades, incorporating their respective countries historical development, academic, economic, political, social challenges and needs, and Hong Kong's higher education sector is no exception. The challenges of maintaining its economic competitiveness, political integration with Mainland China, and meeting the social demands for higher education by its populace have shaped Hong Kong's higher education policy directives, which include changing its governance structure, increasing access and provision of higher education, increasing internationalization, becoming a regional education hub, and shifting its academic structure and faculty ranks towards a more American model.

The fact that Hong Kong's UGC-funded HEIs are governed with their own individual ordinances grants them a high degree of institutional autonomy within a top-down hierarchy that imposes modest government intervention regarding faculty recruitment, appointments, promotions and substantiation. Although this governance arrangement should result in divergent institutional practices for academic appointment and promotion, international benchmarking of standards and practices has resulted in a convergence of practices across UGC-funded HEIs. This has developed into an accountable, performance-based and transparent system which, in general, does not discriminate by sex, disability, family status, or race, and has clear and explicitly presented criteria for appointments, promotions and substantiation.

Hong Kong's UGC-funded HEIs academic appointment and promotion system also incorporates the use of various assessment tools, encourages a broader participation in the assessment procedure, and ensures that decisions are made fairly through its three tier (department, school/faculty and university level) review committees. Its academic appointment and promotion system has incorporated grievance mechanisms, which enable the applicant who received negative results to acquire the review documents, and even use the same documents in subsequent applications subject to certain conditions and time limits.

It should be noted that the UGC-funded HEIs individual ordinances facilitate divergence in appointment and promotion practices, but increased international benchmarking and the need to maintain an international mix of faculty has been converging their respective practices.

Relevant key issues in Hong Kong's academic appointment and promotions system include its low (but increasing) level of women faculty, especially at the full professor level, the lack of gender, disability, family status and race specific policies outside of equality and discrimination, and the recent trend of deteriorating technical research support as seen in Table 7. Further issues which may influence future changes in Hong Kong's academic appointment and promotion is the recent trend of hiring faculty who acquired their doctorates in Hong Kong, and the sudden increase of faculty and promotion to senior academic posts brought about by the shift in Hong Kong's academic structure.

These are caused, in part, by challenges in public funding, the sector's increasing managerialism, and the highly competitive and performance-based work environment across UGC-funded HEIs. Furthermore, even though there is a consensus on the capacity and professionalism of university administration, the lack of communication between faculty and administration, and their minimal involvement in policy-making at the school/faculty and university level may have future implications to the former's satisfaction in future changes in the academic appointment and promotions system.

Notwithstanding these relevant issues, the above-mentioned developments and practices have preserved institutional autonomy, academic freedom, and facilitated having three UGC-funded

HEIs in the top 200 of the 2014 Times Higher Education World University Rankings. It is apparent that Hong Kong's continuing ability to attract and retain an international mix of quality academics reflects the quality, transparency and acceptability of its academic appointment and promotion system and practices, despite its challenges. This highly performance-based system, creates a very competitive work environment and increases stress levels, especially during re-appointment, promotion and substantiation assessment periods, often resulting in loss of employment to those not meeting its internationally benchmarked criteria.

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PROMOTION IN THE ACADEMIC PROFESSION IN INDIA:

UPWARD MOBILITY OF TEACHERS IN HIGHER EDUCATION

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ABSTRACT

THE IMPORTANCE of higher education in national development has been well recognized during the post-independence period in India. The critical role of the academic profession provides quality higher education and research, necessary for national development. It is well-noted that “the academic profession is the mother of all professions in the society” (UGC, 1997). The National Commission on Teachers (1985) further noted, “It is important to have adequate and suitable opportunities for professional and career development.” As a corollary, various government committees and commissions have paid serious attention to the issues relating to the academic profession at the level of higher education, including qualifications for teachers, teacher recruitment, promotion and upward mobility in their academic careers, and faculty development in general. Almost at regular intervals, committees are enjoined by the Government of India to examine the pay and promotional structure, as well as the service conditions of the teachers, so as to ensure attracting and retaining the best talents in the country to the teaching profession. They have made important recommendations on the issues of revision of salary scales and promotional avenues for the teachers in higher education which have formed the basis for modifications and improvements in the system. However, the academic profession in India still is carrying a mixed bag of problems. This paper presents a critical review of a few issues related to the academic profession in the Indian higher education system, particularly focusing on teachers, their recruitment and their upward mobility.

HIGHER EDUCATION IN INDIA

HIGHER EDUCATION in India has expanded very fast during the post-independence period – from an extremely small base consisting of 32 universities, 700 colleges²⁸ and 0.4 million students at the inception of planning in the country in 1950-51, to more than 750 universities, 39,700 colleges and about 24 million students in 2013-14. In terms of its current size, the higher education system in India is the second largest one in the world, next only to China. The US system now comes after India. These numbers cause some to observe that the higher education system is about to enter a phase of ‘massification’ or mass higher education, though the enrolment ratio is only about twenty percent. It is more generally felt that only if the ratio crosses forty percent can a country can be regarded as moving into the phase of massification.

This phenomenal expansion of higher education has contributed to many spheres of socio-economic development of the country. First, with massive expansion of higher education, the country can achieve self-reliance in manpower needs in the sense that no sector of the society – whether it is the manufacturing sector or the service sector, including planning, administration, defense, science and technology etc., or the high technology intensive sector, will critically depend upon foreign or expatriate manpower. The country can even boast

²⁸ Higher education institutions in India essentially consist of universities and colleges. Every college is necessarily affiliated to a university, or is a constituent college of a university. Most colleges offer undergraduate (Bachelor’s level) programmes, and some postgraduate (Master’s level) programmes. Though colleges are an important part of the system, one finds big differences between universities and colleges with respect to a variety of dimensions.

of exporting manpower and making substantial earnings in terms of foreign exchange. For example, it is proudly stated that Silicon Valley in the USA critically depends upon information and technology (IT) manpower produced by the higher education system in India. The brain drain has become no more a matter of concern. Secondly, with such an expansion, the higher education system itself can become democratized, achieving a fair degree of gender parity – around forty percent of the enrolments in higher education are women, and making good progress in social equity – about one-third of students coming from so-called “backward” strata of the society.²⁹ Third, in terms of quality and excellence, a few institutions of higher education, such as the Indian Institutes of Technology, the Indian Institute of Science, and even some central/state universities, and some centres of advanced studies, can stand as exceptional in the country. Fourth, higher education plays a significant part in socio-economic development of the country, including economic growth, poverty reduction, inequality improvement, and human development. The contributions of higher education towards strengthening democracy and promoting political stability have also been quite important.

However, at the same time, the system suffers from severe inadequacies: first, though in terms of absolute numbers, the higher education system is the second largest one in the world, but with about a twenty percent enrolment ratio, India still ranks poorly even among developing countries. Higher education with such a low enrolment ratio is argued to be not at all adequate to meet the growing socio-economic needs of the country, particularly not enough to transform the country into a knowledge society, sustain high rates of economic growth, and emerge from the group of ‘developing’ countries. It is generally argued that a gross enrolment ratio of thirty to forty percent is the threshold level for a country to aim at to be considered a fast growing economy. Secondly, in terms of the quality of higher education, it is widely felt that though there are a few institutions of high quality, they are only pockets of excellence and few Indian institutions among the top two hundred in global rankings of universities. The system as a whole is characterized by mediocre quality and, moreover, the standards are rapidly falling. Very small proportions of graduates are reported to be employable. Third, while there has been somewhat impressive improvement in

²⁹ See National Commission for Backward Classes, Government of India: <http://www.ncbc.nic.in/>

gender equity and also in access of the socially backward sections of the population to higher education, regional – rural and urban, inter-state, and intra-state inequalities are still very high in higher education. Inequalities between the rich and the poor in participation rates in higher education are found to be the highest, and they seem to be increasing.

Thus, the system of higher education is characterized by a few major strengths and a few equally important shortcomings. Recognizing the need for expansion and overall improvement in higher education, the Government of India has set a target of thirty percent gross enrolment ratio by 2030, and has launched a massive expansion programme which, along with high growth of private institutions of higher education, is expected to enable rapid growth of enrolments in higher education.

ACADEMIC PROFESSION

PRESENTLY, A little more than one million teachers are employed in higher education institutions in the country. In 1950-1951, there were barely twenty-four thousand teachers. The increase in the number of teachers has been phenomenal, going up by forty-three times during the 64-year period. However, the rate of growth in the number of teachers has not kept pace with the increase in the number of institutions and enrolments, as one can note from Table 1. High growth in the number of teachers (16-20 percent per annum) took place only in the first two decades, followed by least rates of growth (below 5 percent) in the following three decades.

Table 1: Growth in Teachers in Higher Education in India

Year	Number of teachers (in thousands)
1950-51	24
1960-61	62
1970-71	190
1980-81	244
1990-91	271
2000-01	350
2005-06	488
2010-11	817
2013-14	1,049

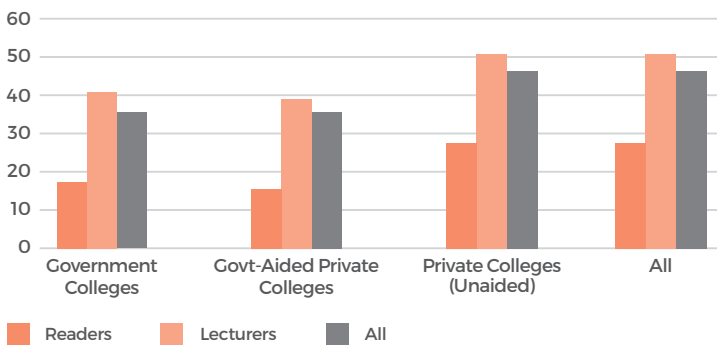
Source: Ministry of Human Resource Development (various years); UGC (various years)

Table 2: Average Annual Growth in Higher Education in India (in percent)

	Enrolment	Teachers	Colleges	Universities
1950-51 to 1960-61	22.01	15.83	21.47	6.07
1960-61 to 1970-71	25.12	20.65	8.02	10.67
1970-71 to 1980-81	4.07	2.84	3.97	3.23
1980-81 to 1990-91	5.99	1.11	4.48	4.96
1990-91 to 2000-01	10.32	4.58	5.32	3.80
2000-01 to 2010-11	12.26	13.34	21.69	14.45
2010-11 to 2013-14	9.09	9.47	7.76	5.04
1950-51 to 2013-14	13.09	9.71	10.68	7.09

Source: Based on Ministry of Human Resource Development (various years); and UGC (various years)

As a result, a severe shortage of teachers is felt in almost all institutions of higher education – universities, central and state, colleges and specialized institutions like the Indian Institutes of Technology. The shortage of teachers has, therefore, resulted in an increase in pupil-teacher ratios, as shown in Table 3. Though at the national level the ratio is twenty-three, in a good number of colleges it ranges between thirty and thirty-six (Qamar, 2008). These ratios in India are found to be very high when compared to many universities in other countries.

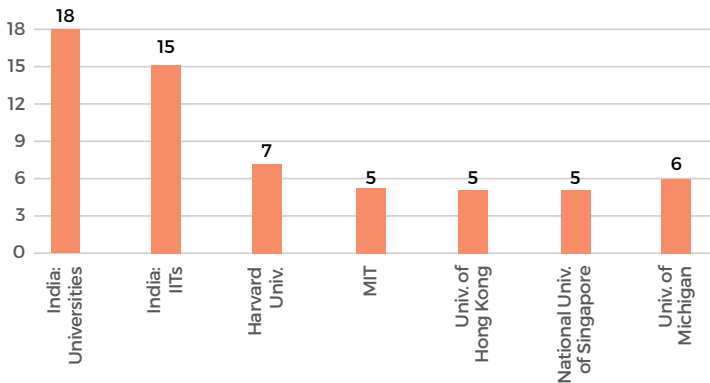
Figure 1: Percentage of Vacant Teaching Positions in Colleges, 2007-08

Source: Chadha, Bhushan, Muralidhar (2008).

Table 3: Pupil-Teacher Ratio in Higher Education in India

	1995-96	2013-14
Universities	15.0	17.7
Colleges	22.4	23.7
Total	20.7	22.7

Source: UGC Annual Reports

Figure 2: Pupil-Teacher Ratio in Selected Universities (around 2013)

Further, a few important characteristic features of the teaching manpower employed in higher education institutions should be noted. The hierarchy of teachers in higher education starts, as per the present system, starting with tutors/demonstrators, goes up to professors with the highest academic grade, all within six categories. Within lecturers/assistant professors, there are three grades/stages; readers, associate professors and professors constitute the teacher hierarchy in higher education. Thus, the presently prevailing hierarchy of teachers in higher education in India is as follows:

- Tutors/Demonstrators (Others)
- Lecturers/Assistant Professors
 - Lecturers(Stage 1)
 - Senior Lecturers(Stage 2)
 - Senior Grade Lecturers (Stage 3)
- Readers/Associate Professors (Stage 4)
- Professors (mostly in universities only)

- Professors (Stage 5)
- High Academic Grade Professors (Stage 6)

Though there are six levels of academic positions, there are only three substantial ones in most higher education institutions, as standardized since 2006: lecturer/assistant professor, reader/associate professor and professor. Tutors/demonstrators (others) are not considered to be core academic staff; they are regarded as supporting, or *para*-academic staff.

As indicated in Table 4, as per the latest statistics, nearly sixty-two percent of the teachers are assistant professors (including lecturers in senior scale); nine percent are full professors; and the remaining twenty-six percent are associate professors. An overwhelming majority of teachers in higher education are in the colleges – undergraduate and post-graduate colleges, accounting for eighty-three percent, while seventeen percent of them are in the universities. Within the universities, seventeen percent are full professors, twenty-five percent are associate professors, and fifty-three percent work as lecturers (including senior grade lecturers). Most of the colleges offer undergraduate programmes, while universities mostly offer postgraduate and research programmes. There are no provisions for transfer of teachers from colleges to universities; transfers are also not allowed among universities, nor between several states in the case of colleges. They are, at best, transferable from one government college to another government college within a state.

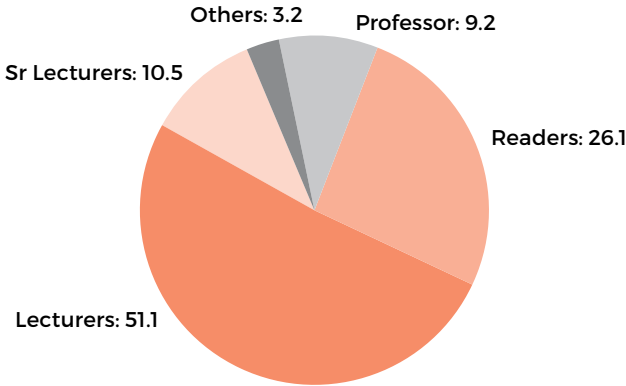
Table 4: Teachers in Higher Education in India, 2013-14

	Universities*		Colleges**		Total	
	No.	%	No.	%	No.	%
Professors	30,272	16.7	65,859	7.6	96,131	9.2
Readers/Associate Professors	46,102	25.4	22,7702	26.3	2,73,804	26.1
Senior Lecturers/ Assistant Professors	17,238	9.5	92,850	10.7	110,088	10.5
Lecturers/Assistant Professors	79,372	43.8	45,6301	52.6	535,673	51.1
Tutors/ Demonstrators	8,434	4.7	24,795	2.9	33,229	3.2
Total	181,418	100.0	86,7507	100.0	1,048,925	100.0

Source: UGC. *Annual Report 2013-2014*

Notes: * includes university colleges; ** affiliated colleges

Figure 3: Distribution of Teachers in Higher Education in India, by level, 2012-13 (%)



Source: Based on UGC *Annual Report 2013-14*.

An important problem with the academic profession in India is that there has been a *de facto* official ban on the recruitment of university teachers (and non-teachers as well) in many universities and colleges. This follows the introduction of economic reform policies in the early 1990s that required downsizing of all public sector units, including higher education institutions. The block grants provided by the state governments to the universities have also remained virtually frozen for quite some time. Thus, the depleting size of faculties, and the frozen state grants have caused serious damage to the morale and motivation of the teachers, the physical ambience of the universities and the overall academic environment of the universities. Many departments and postgraduate centres of the universities are sub-critical in the size of their teaching staff, and are also sub-critical in their performance, offering few high quality teaching and research programmes.

Universities have had to resort to various methods, many of which are not necessarily desirable, to tide over these twin problems. The shortage of full-time faculty has forced them to recruit temporary teachers with varied designations like part-time teachers, guest teachers, contract teachers, and teaching assistants, at very low consolidated salaries, sometimes at a salary level one-fifth of regular teachers. The recruitment of temporary teachers, even under-qualified ones, on contract with inferior service conditions is a widespread phenomenon. All this is akin to the phenomenon of *para-teachers* in the school system. Such

teachers form 15-60 percent of the total staff strength in various universities in one of the states in south India, and on average, one out of every five teachers in colleges belongs to this category (Qamar 2008, p. 202). Many of these teachers may not fulfill the qualifications necessary for a regular university faculty member. But, they sometimes continue to be so employed for several years. Many of them are also recruited to teach “self-financing courses”, which are not funded by the government; the students pay for the total cost of studies in such courses. Over the years, such teachers are also recruited to teach normal regular courses of study. The long term effects of all this on the quality of teaching and research in higher education could be devastating if a sizeable system of higher education were to survive only with the help of part-time contract staff. The teaching profession is becoming de-professionalized. The teachers’ role is changing from being knowledge creators and transmitters of knowledge to being knowledge managers, net-workers and fund-raisers.

Policies of the non-recruitment of teachers and the growth of market forces led to significant changes in research and teaching professions (Tilak, 2007). The emphasis slowly seems to be shifting from scholarly research to economically productive knowledge creation, from scholarly research to project-based research, and from project-based research to consultancy. In the area of teaching, the shift is from promotion of scholarship to imparting of market relevant, saleable, and employable information and skills.

The teaching profession used to be highly respected with a high level of social status attached, though the salary structure in India was not encouraging. The National Committee on Teachers (1985) has looked into several aspects relating to the teaching profession in universities and colleges. But, while severe shortage of teachers and other problems like the recruitment of temporary teachers, even under-qualified ones on contract basis with inferior service conditions and vastly reduced pay package, is a reality, the teachers’ salary in universities and colleges has been revised with every Pay Commission’s revision of salaries of government employees.

Overall, there has been a steep decline in the status of the teaching profession in the country, which used to be considered a unique profession of high respect (Jayaram, 2002). As Altbach (2002) titled his book, “the decline of the guru” has become a phenomenon all over. The social status of teachers used to be high, but their economic status

was far from satisfactory. In recent years, their economic status has improved, but there has been a fall in their social status (see Basu, 2005). Traditionally, teachers were regarded as gods (*Acharya Devobhava*); in the later phase, teachers and students began to be treated as equal; and finally the roles got reversed, the students are treated as gods, as in the market framework, customers are to be treated as gods. Both students and teachers, who used to be in the forefront of civil, social and political movements in the country, seem to be slowly withdrawing into the background (Tilak, 2007).

RECRUITMENT, QUALIFICATIONS AND PROMOTIONS OF TEACHERS

IMMEDIATELY AFTER independence, the Government of India recognized the need to set up proper mechanisms for the recruitment of teachers in higher education and for their promotion.

The University Education Commission (1948-49) bemoaned that the best talent in higher education did not return as teachers, but moved to provincial services and industry. It found a “great variety of salary scales” for teachers, differing from government to government-aided and privately managed institutions, universities and colleges, general and technical institutions, and teachers in professional and technical subjects to other subjects – meaning different pay scales for the same type of work (Ministry of Education, 1950, p.73). It argued and advocated for uniform salary scales and better service conditions for teachers of universities and colleges.³⁰ The Government of India (1986b, p. 141) further recognized that “the present system does not accord teachers a proper economic and social status, opportunities for professional and career development ...”

Recruitment to the teaching positions in higher education is made on the basis of merit through all India advertisements and a selection committee as per university statutes/ordinances. According to the University Education Commission (also known as the Radhakrishnan Commission), “A [p]rofessor should be one who has taught the higher classes for a considerable number of years and established a reputation for scholarship; ... he should have wide interest and a broad outlook to inspire and stimulate his colleagues and effectively contribute to the solution of academic problems of the university. ... the expected age

³⁰ The salary scales adopted at that time were: Rs. 300 for lecturers, Rs 600 for readers and Rs. 900 for professors.

when these qualifications are fulfilled is likely to be 48 years” (Ministry of Education, 1950). “For the post of reader”, the Commission said, “a research degree and published research work in recognized and well-established journals {are} the required qualifications.” It maintained that “a person of about 35 years should be able to fulfill these conditions”. As for the position of lecturer, the Commission felt the *necessary qualification* is a first-class academic record; and the *desirable qualification* is having “some teaching experience” and the candidate “should have started as a research scholar or a fellow, and preferably should have completed his Ph.D.” (Ministry of Education, 1950, pp. 74-75). It is important to note that even though the number of doctorate degree holders in India at that time was extremely small (perhaps less than one hundred), the University Education Commission (1949) emphasized a research degree as essential for teachers in higher education, especially in universities as they are conceived not only as teaching institutions, but equally, if not more importantly, as research institutions.

Several years passed without any dilution in the prescription of the essential and necessary credentials needed for a teacher in higher education, though “in a number of universities the standards appeared to have been diluted at several places because of unplanned growth, inadequate faculty and lack of infrastructural facilities” (Government of India, 1976). The Sen Committee (1976) was of the firm view that even at the entry level “a master’s degree alone {will} not suffice for the selection of a lecturer.” It felt that teaching/research/advanced studies beyond the master’s degree, or master of philosophy, or Ph.D., as essential qualifications for recruitment. This was obviously besides a good academic record, especially at the master’s level with fifty-five percent or more marks.

The National Council on Teacher Education (NCTE) in collaboration with University Grants Commission (UGC) and the All-India Council on Technical Education (AICTE) are expected to ensure recruitment of properly qualified teachers in higher education institutions in India. UGC sets the guidelines for deciding workload of every teacher and, correspondingly, the number of teachers to be appointed in a given university/college.

The National Commission on Teachers for Higher Education (NCT 1985) endorsed the minimum qualifications of teachers prescribed by the UGC in 1973, viz., a good academic record, with evidence of research capabilities, a research degree and pedagogic skills. However,

the Mehrotra Committee (UGC 1986) noticed that “the stipulation of a master of philosophy or doctorate as an essential qualification for lecturers had neither been followed faithfully nor did it necessarily contribute to the raising of teaching and research standards. If anything, it had led to the dilution of research standards on account of the rush to get a research degree in the shortest possible time. It noted that the adoption of the 10 + 2 pattern of schooling involved one additional year of education. Hence, it felt that a good M.A./M.Sc./M.Com., would be adequate as the minimum qualification for a lecturer, and a research degree should be necessary only for career advancement. It suggested that additional increments be sanctioned to research degree holders at the time of selection as lecturers to give due recognition to their research experience. This would attract bright young talent into the teaching profession. However, the Mehrotra Committee also suggested that in view of the diversity of standards among universities, passing a national qualifying examination before recruitment should be made an essential pre-condition. Accordingly, in order to ensure national standards of the teachers in higher education throughout the country, teachers in higher education institutions are now recruited on the basis of a national eligibility test (NET) conducted by the UGC. Similar eligibility tests at the state level, namely the “state level eligibility test” conducted by state governments, were introduced to ensure minimum uniform quality of teachers in higher education institutions. After all, teachers in higher education institutions do not receive any pre-service or even any substantial in-service training, unlike school teachers in India. The NET, as a minimum eligibility condition for teachers in higher education institutions, is relaxed in the case of those teachers who possess research degrees (doctoral and pre-doctoral). In 2006, the NET was abolished with a view to ease the problem of teacher shortage in many areas. However, soon it was found that it is too important to abolish it so it was reinstated.

Presently, a good academic record at the master’s level from an Indian or accredited foreign university (with at least 55 percent marks or equivalent)³¹, or either a doctorate or a pass on a national eligibility test

³¹ Universities are free to upgrade the minimum eligibility qualifications. For example, quite a few universities insist on good academic record not only at master’s level studies, but also at bachelor’s degree level; some redefine ‘good’ academic record as first class, not just 55 percent marks. Depending upon the number of applications received for each post, the screening committees generally set higher minimum qualifications.

conducted specially for the post of a lectureship/UGC fellowship, is the basic condition for entry into the teaching profession at the lowest level of assistant professor/lecturer. In addition to a good academic record at the masters' level, a doctorate degree along with eight years teaching experience are essential prerequisites to be eligible for the post of associate professor. And, for the post of professor one should have ten years of teaching/research experience and a good publication record.

Table 5: Qualifications for the posts of Assistant Professor, Associate Professor and Professor in Universities and Colleges

Professor **Minimum Qualification:**

- Should have a good academic record with 55 percent marks at master's level and qualifying NET/SET/SLET (Those with Ph.D. and Master's in subjects not covered by NET now are exempt from NET, and for SC/ST and differentially abled there is a relaxation of five percent);
- Should have a mandatory Ph.D. for the appointment to be a professor or promotion to be a professor, and direct appointment of associate professor.

Desirable Qualification: (A)

- Should be an eminent scholar with Ph.D. and published work, actively engaged in research with a minimum of ten publications;
- Should have ten years' experience teaching in university/ colleges and/or experience in research in university/national level institutions, including guidance at doctoral level;
- Should have made contributions to educational innovations, the design of new curriculum and courses and/or technology;
- Should have a minimum API score;

or **(B)**

- Should be an outstanding professional with established reputation in the field.
-

Associate Professor

- Should have a good academic record with a doctorate in relevant discipline;
- Should have a master's degree with 55 percent marks or equivalent grade;
- Should have a minimum of eight years' experience teaching and/or research in a position equivalent to assistant professor in a university/college/research institution;
- Should have made contributions to educational innovation, design of new curricula and courses; and
- Should have a minimum API score as Performance-Based Appraisal System.

Assistant Professor*

- Should have a good academic record at master's level at an Indian, or accredited foreign, university with at least 55 percent marks or an equivalent grade in points scale;
- Should be NET/SET/SLET qualified (Candidates with doctorate will be exempted from NET/SET/SLET as eligibility criterion and NET not compulsory in respect of subjects at master's level where NET is not conducted).

* Assistant professors in arts, humanities, sciences, social sciences, commerce, education, languages, law, journalism and mass communication

Source: *The Gazette of India*, September 18, 2010, pp. 7850-53.

Table 5 gives the details on present minimum qualifications for various academic posts in universities and colleges. All of these and the other regulations that are discussed here are applicable to government and government-funded private higher education institutions, and are not applicable to private institutions, (though it would be desirable if the regulations are made applicable to all recognized institutions).

PROMOTIONAL AVENUES AND UPWARD MOBILITY OF TEACHERS

IT HAS been long recognized that security of tenure and reasonable prospects of advancement in the academic profession are essential to maintaining the health and tone of the service (Government of India, 1950). The Radhakrishnan Commission declared that the ratio between professors and readers on the one hand, and lecturers and instructors on the other, should be 1:2. A teacher entering the profession at the age of 22 or 23 as an instructor or a fellow, by the time he/she reached the maximum of the lecturer grade, would have acquired sufficient experience and standing to be eligible for a readership and could rise to the position of professor at about 48 years of age in an open competition.

According to the Sen Committee (Government of India, 1976), a lecturer/reader, after completing six years of service, could offer him/herself for higher position by a duly constituted selection committee of the university on the basis of his/her qualifications and work. The promotion in such a case should be regarded as a personal promotion, which implies that there should be no limit to the number of posts of readers and professors within the total sanctioned strength of a department. A suitable procedure for proper evaluation of the teacher would have to be evolved by the UGC. Teachers having similar qualifications, appointed to these posts by following the same criteria as those applicable to the university teachers, whether working in a university or a college, should have a similar scale of pay.

The National Commission on Teachers (1985) felt that “it is important to have adequate and suitable opportunities for professional and career development”. But, the National Commission did not favour *promotion*

by seniority as a proxy for merit. Instead, it argued that promotion should be based on continuous record of the work of a teacher, in teaching, research, extension and administration. Career advancement should be linked to faculty development. The Government of India (1986b) deplored the lack of promotional opportunities, such as opportunities for professional and career development, initiatives for innovation and creative work, proper orientation in concepts, techniques and a value system to fulfill their role and responsibilities.

METHODS OF PROMOTION/UPWARD MOBILITY

THERE ARE two methods of promotion in the higher education system in India ever since the formulation of the National Policy on Education 1986 (Government of India 1986a), viz.: (1) open competition, which was the only method available for promotion for a long time, and (2) merit promotion under the Career Advancement Scheme (CAS) introduced after 1986. The general principles that guide promotion in both cases are: non-discrimination, reservations for backward social groups in the population (scheduled castes, scheduled tribes and other backward classes),³² merit/performance of the candidate, transparency, and welfare of the teachers. Teachers are assessed and graded annually through a performance-based appraisal system. Promotion is considered a mechanism to promote morale and commitment to the profession and an incentive for better performance.

³² As per Constitutional mandate, 49.5 percent of the posts are reserved for socially backward sections of the society: 15 percent for scheduled castes, 7.5 percent for scheduled tribes and 27 percent for 'other' backward classes. Besides this 'vertical' reservation, there is a 'horizontal' reservation to the extent of 3 percent (across categories) for *people with disability* and 1 percent each for auditory, visual and orthopedic disabilities. All vacant posts are necessarily advertised and the number of posts reserved for each category is also to be mentioned. If candidates from the specified category are not available, the vacant positions need to be re-advertised; they cannot be filled with candidates from non-reserved categories.

PROMOTION THROUGH COMPETITION (DIRECT RECRUITMENT/OPEN COMPETITION)

WHENEVER A vacancy for an academic post arises or a new position is created, the position is filled through open competition, where faculty members already working in the same organization at a lower level and fulfilling the required qualifications can compete with scholars applying from outside the institution. This mode is commonly known as direct recruitment, or promotion through open competition, and has been the most standard avenue for upward mobility of teachers in higher education institutions.

As per the present rules and regulations formulated by the UGC (2010, 2013), the eligibility criteria for direct recruitment for the position of professor are a doctorate degree with at least ten years of academic experience, ten high quality research publications, and 400 consolidated points on the academic performance index (API), formulated under the Performance-Based Appraisal System. The weights assigned to different selection criteria are: twenty percent for academic background, forty percent for research, twenty percent for domain knowledge and teaching skills, and twenty percent for performance in interview, conducted specifically for this purpose. Similarly, for the post of associate professor, one should have a doctorate, good academic record (fifty-five percent marks) at the master's level, eight years of experience (at assistant professor level), five publications, and 300 points on API. The weights for different selection criteria are same as those for the post of professor. Applicants for the post of assistant professor should have good academic background (fifty-five percent marks) at the master's level, and a pass on the National Eligibility Test (NET) (or a doctorate degree obtained before 2009). The selection criteria with weights include academic record (fifty percent), domain

knowledge and teaching skills (thirty percent) and performance in an interview (twenty percent).

Direct recruitment for the faculty positions used to be guided by the same considerations except for the academic performance index (API), which was introduced recently with differential weights for different selection criteria.

The main problem with the direct recruitment system is that the number of positions available for higher level positions is very limited as such positions arise only when the incumbent either retires, or leaves for some reason or other, or, in less frequent cases, new positions are created due to an increase in the number of students, courses of study offered, and setting up of new institutions. Financial constraints also restrict the creation of new positions and even for filling existing vacancies. Moreover, reservation policies add to these problems because the very limited number of vacant positions – existing or newly created – subject to reservations for different social groups of population. Hence, stagnation for many years has been a feature of the majority of the academic profession in the country, resulting in de-motivation and even desertion of the academic profession altogether.

CAREER ADVANCEMENT SCHEME (CAS)

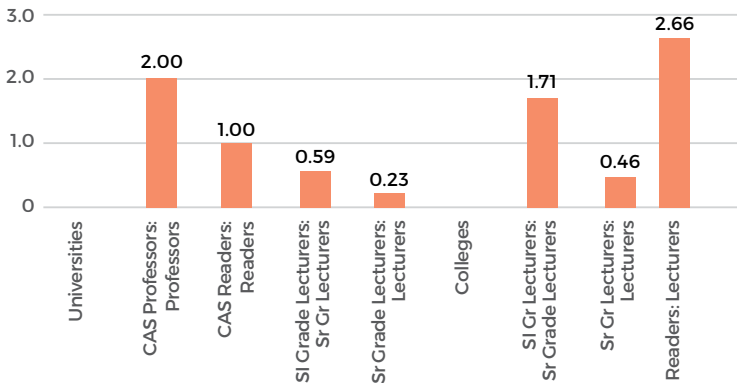
THE CAREER advancement scheme, also known during the earlier period as the merit promotion scheme, was introduced in India in 1983. It allows promotion of eligible faculty members to the next higher level even if there are no vacant positions at the higher level. Its origin can be traced to a recommendation made first by the Education Commission (1966, p. 101): “An *ad hoc* temporary post in the higher grade should be created for lecturer or reader who has done outstanding work and who cannot be given his well-earned promotion because no suitable posts are vacant. He should then be absorbed against an appropriate permanent post as soon as it becomes available.” As per the present practice, successful CAS applicants are not absorbed into regular posts, even if available. The Commission further recommended that “before such promotions are made, the work of the persons concerned should be evaluated by a specially constituted expert committee and with the approval of the UGC obtained” (p. 101). Promoting vertical mobility, the time-bound promotion scheme introduced in 1983 is regarded as an important solution to the problem of stagnation and a check on exit rates from a given institution and from the academic profession as a whole. It is considered to be a personal promotion, and once a faculty member retires or leaves, the vacancy is treated at the lower level only from which the promotion was made. It promotes vertical mobility. With the merit promotion scheme assuring time bound promotion, the teaching profession was expected to be no longer the last resort of talented graduates from the universities and colleges.

Thus, under the merit promotion scheme of the UGC teachers in higher education are assured of promotions in their careers, if they

complete a minimum prescribed number of years of service at the given level and if their performance is satisfactory. For a long time, there was a distinction maintained between CAS appointments and recruits through open competition. The CAS promotions were treated differently from others, for example, when seeking their turn for the headship of their department even when it was on rotation. Though the direct recruits continue to have an air of superiority and the CAS promotions are viewed with an inferior tag, for most official purposes no formal distinction is made between the two. Certainly the situation of the universities with too many faculty members promoted under CAS in relation to faculty members directly recruited is not a healthy situation (Figure 4).

The merit promotion scheme was criticized as essentially a time-bound personal promotion scheme, with emphasis on seniority and with no concern for merit or performance of the faculty members. Mainly intended as a means to reward merit, it culminated, despite some recommendations made by successive pay review committees, in time-bound promotion. The incentive for hard work got blurred. As Amrik Singh (2004, p. 209) observed, “It curbs initiative: even promotion to a professional post is based on a considerations which underemphasize academic achievement and overemphasize seniority.”

Figure 4: CAS Promotions (Ratio) in Universities and Colleges



Source: Based on UGC (2008)

In practice, CAS became a right for everyone, and the result was reckless promotion of all, not discriminating between deserving and undeserving, without serious consideration for quality in research

and teaching. No proper objective methods of evaluation of teacher performance were adopted. In effect, assessment of performance was largely based on annual self-appraisals of the teachers, and hence promotion became automatic, subject only to the number of years of service. Since this was subject to fulfillment of a bare minimum level of performance in teaching and research, it was widely held that the scheme was counter-productive and would adversely affect the motivation of the teachers to excel in their work. For the same reason, it was widely characterized not as merit promotion, but as 'mercy' promotion. Some attribute the decline in quality and standards in higher education and in the standards of the academic profession to the merit promotion scheme. But, the scheme has come to stay, as any action otherwise will incur the wrath of the teachers' unions. Only some marginal modifications have been periodically attempted over the years, until recently when major changes were made. Those changes will be described below.

PERFORMANCE- LINKED PROMOTIONS AND NEW PAY SCALES

DESPITE SEVERE criticism, the Sixth Pay Revision Committee of the UGC (2008) recommended the continuation of the career advancement scheme, but with a few additional qualifications, a recommended revision in the pay scales, and an increase in the retirement age to sixty-five with a provision for extension until the age of seventy for some.³³ While modifying the career advancement scheme and revising the pay scales, the Sixth Pay Revision Committee considered two important factors, namely, parity in pay scales of members of the academic profession with those of the civil servants, and secondly, parity in the promotional time-frame and the number of promotional grades between those of the academic staff and civil servants. Presently, the long held sharp criticism raised about the lack of parity in career pay profiles of the two categories is no longer valid, as there are common and uniform grade pay increments across both services. In addition, the Sixth Pay Revision Committee formulated an elaborate set of parameters for the academic performance index to use for both promotion through direct recruitment and promotion through CAS.

First, as recommended by the Committee, the pay scales of teachers have undergone very significant increases. Unfortunately, many states have yet to implement these revisions. Unlike the pre-Sixth Pay Commission situation, teachers' salaries are no longer low compared to other government services and corporate businesses.

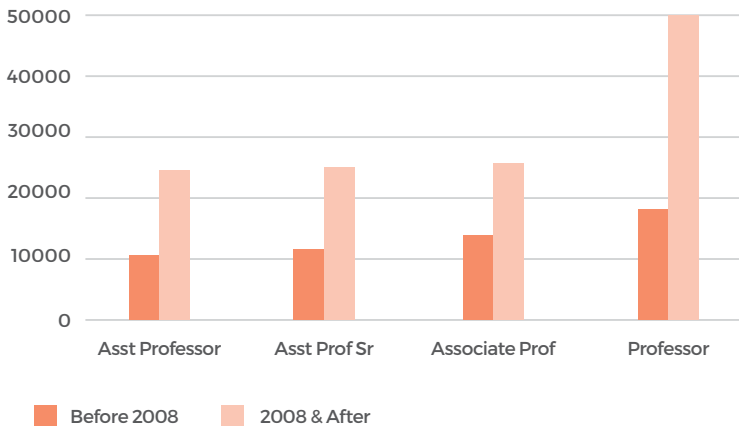
³³ See UGC, 2010, for full details.

Table 6: Monthly Pay Scales of Teachers (2008) (Rs.)

Stage		Pay Scale	Grade Pay
1	Assistant Professor (1)	15,000-39,100	6,000
2	Assistant Professor (2)	15,000-39,100	7,000
3	Assistant Professor (3)	15,000-39,100	8,000
4	Associate Professor	37,400-67,000	9,000
5	Professor	37,400-67,000	10,000
6	Professor (HAG)	37,400-67,000	12,000
6	Professor (HAG)	67,000-79,000	nil

Note: Current (January 2015) exchange rate: INR60 = USD 1 (approximate)

In fact, the starting gross monthly salary of an assistant professor today is Rs. 42,400, associate professor, Rs. 85,800 and professor Rs. 97,400 (Jayaram 2012). The revision in the salary scales with additional allowances meant a whopping hike of seventy to ninety percent over the then existing levels. From the point of view of international comparisons, the salary levels might still seem to be low; but they are not when compared with salary structure of others in the public sector in India, and the relative purchasing power of the money. In that sense, they are somewhat globally competitive salaries. They are also uniform across the whole country.

Figure 5: Revision in Teachers' Salaries in Universities and Colleges (Rs. at the beginning level: Basic Pay + Grade Pay)

While the new pay scales are widely welcomed, some have argued that the pay scales are common for stages 1, 2, and 3 and stages 4, 5 and 6, whereas differential starting scales of pay could have been judicious. There are differences only in Grade Pay. There is not much difference between stages 4 and 5. There is no significant financial reward when promoted to the next stage, say between Stages 1,2 and 3; or between stages 4 and 5, and between 5 and 6.³⁴ The pay revision committee has also recommended better/faster upward mobility for teachers.

The Career Advancement Scheme formulated by the Sixth Pay Revision Committee that came into force in 2010 and was revised in 2013³⁵ is based on certain clear cut criteria, namely, years of experience, API Score, and assessment by the selection/screening/expert committee. The API scores take into account: (i) teaching, including innovations in teaching, syllabus improvement, examinations, evaluation, etc. with scores ranging from 25 to 125 points; (ii) co-curricular, extension, and profession-related activities, including academic administration, relations with the corporate sector, seminars, etc. with the range of scores between 15 to 50 points; and (iii) research, including papers/chapters, books, projects, seminar/conference papers and research guidance. Under each of these three areas, a large number of indicators are identified and their respective score points are specified. By doing so, the API aims to reduce the scope for bias and favouritism in the process of promotion (and also recruitment), and at the same time encourage, motivate and reward teachers in their academic pursuits (Das and Chattopadhyay 2014, p. 68).

Specific minimum eligibility conditions for promotion at each level are different and are given in Table 7. Every category – teaching, extension and research – consists of several detailed items, and points are assigned for each.³⁶ The API score system, including all the criteria, minimum

³⁴ Promotion from stage 5 to stage 6 is also conditioned by the total number of positions at the level of stage 5 in the university, and only ten percent of such positions can be promoted to stage 6, subject to a very high level of academic performance evaluated by an expert committee.

³⁵ In response to widespread criticism from the teaching community, the UGC withdrew the API system as a whole in January 2013, but quickly retraced its steps and restored it in June 2013 with a few important modifications.

³⁶ See UGC (2010, 2013) for points in detail for each component, for example, points for publication of papers in journals, points for publication of books, points for attending seminars, points for conducting seminars, teaching hours, examination of related work, etc.

eligibility conditions, relative weights and points for various performance indicators, are applicable in the case of both direct recruitment and promotion and under the career advancement scheme.

The intent of making an elaborate and systematic API under the Performance-Based Assessment System was to provide for a 360-degree assessment of the diverse contributions of faculty members. Although the format and all of the conditions are given in elaborate detail, it also claims to be leaving enough space for universities to modify the format within the framework to make a comprehensive assessment.

Table 7: Minimum Eligibility Conditions for Promotion under Career Advancement Scheme Revised (2013)

Promotion from Stage 1 to Stage 2	
Experience at Stage 1	
Experience for those with Ph.D. degree	4 years
Experience for those with M. Phil	5 years
Experience for those with no M.Phil./ Ph.D.	6 years
API score	
• Teaching	75 points per year
• Extension	15 points per year
• Teaching and Extension	100 points per year
Research	10 points per year
	40 points for the assessment period
for College teachers	5 points per year
	20 points for the assessment period
Assessment of Screening Committee	Positive/Verification of the API scores
Promotion from Stage 2 to Stage 3	
Experience at Stage 2	
Experience for those with Ph.D. degree	5 years
API score	
• Teaching	75 points per year
• Extension	15 points per year
• Teaching and Extension	100 points per year
Research	20 points per year

	100 points for the assessment period
for College teachers	10 points per year
Assessment of Screening Committee	50 points for the assessment period Positive/ Verification of the API scores

Promotion from Stage 3 to Stage 4

Experience at Stage 3	3 years
API score	
• Teaching	75 points per year
• Extension	15 points per year
• Teaching and Extension	100 points per year
Research	30 points per year
	90 points for the assessment period
for College teachers	5 points per year
Assessment of Selection Committee	20 points for the assessment period positive
Relative Weights	
• Research	30 per cent
• Teaching	50 per cent
• Interview	20 per cent
for college teachers	
• Research	20 per cent
• Teaching	60 per cent
• Interview	20 per cent

Promotion from Stage 4 to Stage 5

Experience at Stage 4	3 years
API score	
• Teaching	75 points per year
• Extension	15 points per year
• Teaching and Extension	100 points per year
Research	15 points per year
	45 points for the assessment period
for College teachers	5 points per year
	20 points for the assessment period

Assessment of Selection Committee	positive
Relative Weights	
• Research	50 per cent
• Teaching	30 per cent
• Interview	20 per cent
for college teachers	
• Research	20 per cent
• Teaching	60 per cent
• Interview	20 per cent
Promotion from Stage 5 to Stage 6	
Limit: ten percent of Professors in the organization	
Experience at Stage 5	10 years
API score	
• Teaching	75 points per year
• Extension	15 points per year
• Teaching and Extension	100 points per year
• Research	50 points per year
	500 points for the assessment period
Assessment by Expert Committee	positive
Relative Weights	
• Research	50 per cent
• Performance Evaluation	50 per cent

Source: UGC (2010, 2013)

The API is regarded as India's first major attempt at ensuring that teacher recruitment and promotions are directly linked to academic performance. The goal is to make the process of recruitment and selection transparent, objective and credible, ensuring a sound and systematic methodology of assessment of the credentials of the teachers in higher education. Introduced along with steep increases in pay scales of teachers, the performance assessment system is aimed at increasing the accountability of teachers to improve the overall standards of higher education institutions in the country.

Though some have noted that this marks a very significant improvement over the prevailing system, introducing a high degree of

objectivity into the assessment of teachers' performance and widening promotional opportunities, it has not been spared from serious criticism by the academic community. While the pay increases were widely welcomed, the application of the academic performance index has been subject to severe criticism.

The problems with CAS system are many and complicated. The API score system is regarded as very cumbersome, flawed and open to manipulation. Further, the documentation process is tedious, cumbersome and time-consuming.

Though some variations are provided for, broadly uniform criteria were applied for all institutions without taking into account the sharp variations in the facilities for creating an environment conducive for teachers' performance. Some argue that the API scoring system gives undue weight to research and less to teaching, and even less to extension activities and social functions. It also discourages joint work and department-level team work. And, it encourages individual concerns, as the same points are divided between the team members in cases of joint and collaborative activities. Nevertheless, there is a widespread obsession with API scores and many teachers get occupied manipulating and accumulating their API scores by attending more and more conferences, workshops, symposiums, training programmes even if they are not very relevant, publishing articles in journals of low or zero credibility³⁷ and books with cheap publishers on payment, etc. There is no proper mechanism to monitor the quality of the research or assess the commitment of the teachers. In short, as Arun Kumar (2013) observed, the API has been "initiated to quantitatively measure the performance of academics. It has set into motion a process of weeding out the committed academics in favour of mediocrity and paper chase". The API also has been criticized on other grounds as well. First, the strict and inflexible requirements of the API score system are responsible for slowing down recruitment thereby adding to large scale teaching vacancies in higher education institutions. Second, the API system with its rigidly specified and detailed conditions is said to be going against the concept of university autonomy on the one hand, and the autonomy of the states on the other. Thirdly, the standardized system of assessment does not differentiate between

³⁷ It also seems to have contributed to a proliferation of journals of all types, some of which, particularly those online, promise to publish articles a couple of weeks after submission, provided publication fees/charges are paid.

different universities and colleges, though distinction is made between social sciences and humanities on the one hand and natural and other sciences on the other.

Others suggest that many of the indicators are subjective and several are regarded as unfair and not relevant for teachers in many higher education institutions in India. For example, there are teachers in colleges, who, like in many other countries, are not “creative intellectuals,” but are “consuming intellectuals” essentially involved in transmitting knowledge, and not much in research publication (Altbach, 1977). Further, some colleges are also severely short of basic infrastructure, research support, etc., making comparison with others unfair. Finally, some view that the assignment of points and weights for each activity, indeed the whole quantification process, is highly simplistic, mechanical, and demeaning, and ignores the human and intellectual dimensions of the profession. It assumes that teacher performance or teacher efficiency can be reduced to a score, which is seriously resented by many. As Bhattacharya (2013) wondered, is the API system meant to “grade or degrade” teachers?

The levels of faculty positions for promotion are many – as many as six. It takes a minimum of sixteen years for one who joins as an assistant professor to get promoted to be a professor (stage 5).

Despite the fact that it was a significant improvement over the earlier models of career advancement, in view of large scale resentment and continuing criticism from the teaching community the UGC withdrew the API system in January 2013, but quickly restored it in June 2013 with a few important modifications.³⁸ The revisions include changing the score points for some items, capping score points on some items and changing the relative weight for some. Importantly, the revisions provide flexibility for the universities to adopt, adapt and interpret the API in their own way. Universities are still required to rate teachers, but can set the parameters themselves, and, to encourage transparency, give teachers a point-based score based on a university-developed index. They are also given flexibility to evolve their own mechanisms to assess teacher performance, based on their own performance-based appraisal system and the API scores.

³⁸ For example, so as to prevent teachers from increasing their API scores by attending too many seminars/workshops etc., the UGC amended the regulations in such a manner that a maximum fifteen percent of API would be allocated for participation in conferences, seminars and training courses.

Initially, API was to provide an objective system of assessment of a teacher's accountability and performance, but after 2013 it was converted into just a screening mechanism and not meant for expert assessment. If candidates fulfill stipulated cut-off points, they are called in for interviews. The screening/selection committees are entrusted with the final responsibility of making a comprehensive assessment of the applicants and the final decision. Since the API score cannot be taken as decisive, the API remains as a bureaucratic/clerical exercise of least significance. Yet the API stays and it matters.

Some of the discontent among the teaching community has not been favourably viewed by many who feel that teachers have been against the API scores based on performance all along because they require teachers to work hard and consistently for years for promotion, in contrast to gaining 'automatic promotion' after a given number of years, which was the *de facto* practice earlier in many universities.

Nevertheless, some criticism seems to have validity. The whole system continues to maintain that teacher performance can be reduced to a single score, and though standardization cannot be avoided, and any composite index by its very nature turns out to be a single number, the scoring pattern does not differentiate between poor quality and high quality research, instant/short term research and long term engagement in fundamental and path-breaking research or creative writing, between mediocre teaching and inspiring teaching, etc. And, the system continues to altogether ignore student evaluation of teacher performance.

The use of API and CAS in practice is not as efficient as it appears. While the essence of the point system of the API was retained by all universities in practice, by maintaining the mandated cut-off points, the spirit was compromised in terms of quality. Points for publications and activities are manipulated by universities to suit their specific situations, thereby diluting the API system. In the process of making it more flexible, it is allowing an "infusion of subjectivity and discretion" as well (Das and Chattopadhyay, 2014, p. 71). Theoretically, promotion under CAS is not automatic, but it is in practice. Teachers view it almost as a right. And, as there is no competition for such promotions, there is no need to excel, or at least perform well. CAS leaves no scope for competition. In the CAS approach, there is not enough consideration for quality research, commitment, seriousness and devotion in teaching. Members rejected under the competitive promotion scheme can get

promoted under CAS. Even when positions are available under direct open recruitment in the same organization or outside, many tend to opt for less rigorous option of promotion under CAS. Some critical parts of the process are highly subjective leading to nepotism and favouritism. No provision exists in the CAS system for any kind of student evaluation of teacher performance. With large scale promotions, it is feared that the structure of the teaching staff in the universities is changing from a typical pyramidal structure to a cylindrical one and then to an inverted pyramid, with a larger number of professors and associate professors and a smaller number of lecturers and assistant professors.

Despite many shortcomings, the elaborate assessment system used for promotion in universities and colleges in India tries to straddle the difficult balance between objective assessment and needed subjective assessment of performance of academic faculty, while also ensuring the autonomy of varsities and improving faculty accountability. It is not a perfect system; it cannot be perfect.

To conclude, it is widely felt that to ensure a place among the top institutes in the world, an efficient evaluation system should be introduced and the performance-based appraisal system and the API systems should be revised to take into consideration local specific conditions, national concerns and the international environment. UGC has recognized the need to reconsider the API indicators and has sought, in its latest communication in April 2015 to the universities, their views in this regard. It is hoped that after wider consultations, a clearly formulated scientific system of performance evaluation is firmly put in place which does not require frequent modifications or revisions, and which is accepted not only by all within the country, but also internationally.

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**ACADEMIC PROMOTION
OF HIGHER EDUCATION
TEACHING PERSONNEL
IN INDONESIA**

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ABSTRACT

THIS CASE study describes different aspects of academic promotion of higher education teaching personnel (HETP) in Indonesia. Included are levels of positions, educational requirements, credit points and associated workloads and activities, and the process of academic promotion and grade improvement. Finally, the paper presents issues related to different aspects of HETP promotions.

INTRODUCTION

HIGHER EDUCATION is an important aspect of progress and development of any country. Each country has developed its higher education institutions (HEIs) and employs higher education teaching personnel (HETP). The level of development of any HEI is partly determined by the quality and performance of HETP. In order to provide incentives and a suitable working environment, each country, including Indonesia, should develop a system for academic promotion for their HETP.

This case study provides information and identifies issues related to academic promotion in Indonesia. The first part of the paper will explain the definition of higher education (HE) and HETP in Indonesia and its development status. It will then describe the system of academic promotion and identify relevant issues related to the academic promotion of HETP. Finally, a number of recommendations are proposed to help advance academic promotion of HETP in the Asia-Pacific region.

HIGHER EDUCATION AND HIGHER EDUCATION INSTITUTIONS

HIGHER EDUCATION policy in Indonesia has evolved over time. In 2012, a law governing HE in Indonesia (Law No. 12/2012) was enacted. In this context, HE in Indonesia is defined as the level of education after high school and is based on Indonesian culture. Indonesia's definition of HE is similar to UNESCO's definition of higher education (Table 1 below). Indonesia has put emphasis on approval for the establishment of HEIs and accreditation. This is now stipulated in the Indonesian higher education law. In terms of teaching personnel, the Indonesian higher education law emphasizes three obligatory roles: (1) HETPs are professional educators, (2) they actively conduct research and scholarship activities; and (3) they are community members performing community services (community engagement). UNESCO offers more flexibility regarding obligatory tasks required of academics seeking promotion (consider the "and/or" wording), while the tasks required under Indonesian law are more strictly defined. The three obligatory tasks for Indonesian academics are the requirements for academic promotion. Table 1 includes a comparison of Indonesian law and UNESCO's 1997 recommendation regarding academics obligatory roles and status.

At issue is whether an academic could be allowed to focus more on one of the three obligatory tasks with the burden to fulfill the others left to the university, as an institution, to make up for. In other words, a university could allow their academics to focus more on a certain task/obligation according to their interest and expertise, but the university as a whole would still fulfill the complete obligation.

Table 1: A comparison between definitions produced by Indonesian education law and UNESCO

No.	Indonesia (Law No. 12/2012)	UNESCO (1997)
HE	HE: is the level of education after high school which covers diploma, undergraduate, master's, doctoral, professional and specialized programmes managed by higher education institutions based on Indonesian culture.	HE: 'higher education' means programmes of study, training or training for research at the post-secondary level provided by universities or other educational establishments that are approved as institutions of higher education by the competent state authorities, and/or through recognized accreditation systems.
HETP	HETP: is a professional educator and a scientist with the main task transforming, generating, and disseminating scientific knowledge and technology through education, research and community services.	HETP: higher-education teaching personnel means all those persons in institutions or programmes of higher education who are engaged to teach and/or to undertake scholarship and/or to undertake research and/or to provide educational services to students or to the community at large.

Source: Ministry of Law and Human Rights (MoLHR), (2012)

There are 4,366 HEIs in Indonesia, both state and private, which consist of universities, institutes, polytechnics, specialized fields of HEIs, and many diploma levels. The total number of students enrolled is approximately eight million distributed in thousands of fields of studies. The total number of HETPs at the state HEIs in 2014 was 218,466 most of whom (198,792 or 91 percent) were under the Ministry of Education and Culture (MoEC). The remaining 19,674 HETPs (9 percent) were under twenty-one other ministries and state institutions which have their own education units. There are three ministries with a significant number of HETPs after MoEC: the Ministry of Religious Affairs (MoRA), the Ministry of Health (MoH), and the Ministry of Home Affairs (MoHA).

Of the total number of teaching personnel in Indonesia, the distribution according to status is about 85% or 185,969 HETPs are permanent status and 15% or 32,497 HETPs have non-permanent status. Those with permanent status are subject to the HETPs promotion scheme. Of those with permanent status, the majority (167,886 or 90 percent) have permanent status under MoEC with the rest distributed among the twenty-one other ministries and state institutions with their own education units.

THE STATUS OF HIGHER EDUCATION TEACHING PERSONNEL IN INDONESIA

THE LAW in Indonesia promotes equal rights to HETP for “everyone who fulfills the academic qualifications and competencies, has an educator certificate, is physically and spiritually healthy and, fulfills other requirements set by the HEI where he/she is applying for work, and has the capacity to contribute to the achievement of national education goals” (Article 45 of Law No. 14/2005 on Teacher and HETP). There is an issue here to consider between having the right (to be civil servant) versus having the “passion” to be a teacher at the level of higher education. This issue is related to the fulfillment of key performance indicators (KPIs) on research and publication in the sense that those with less passion to do research will tend to spend more of their time teaching. This will have implications on the fulfillment of KPIs.

In terms of the levels of academic positions and their education requirements, there are four levels, 1) assistant lecturer (AL); 2) lecturer (L); 3) senior lecturer (SL), all three of which require at least master’s level education, and 4) professor (Prof), which requires a doctoral level education.

From the total number of permanent HETP (185,265), those with a lecturer level position number 48,319 (26.1 percent) followed by assistant lecturer at 40,884 (22.1 percent), senior lecturer at 33,194 (17.9 percent) and professor which has the lowest number with a total population of 5,052 (2.7 percent). The rest (57,816 or 31.3 percent) are not yet classified in any academic position. They are recently recruited and in the process of fulfilling the requirements for an academic position. In terms of education level, only 12.4 percent are

Ph.D. holders. The majority of them have master's degrees (117,386 or 63.4 percent), while around 21 percent still only have bachelor degrees. According to the law, those with bachelors degrees have to earn a master's degree or be transferred to administrative staff. The rest have advanced professional education in health or professional education for polytechnic institutions. From a gender perspective, around 59 percent are male and 41 percent are female.

The workload of HETPs consists of 12 - 16 credit points per year which cover the three main tasks of higher education institutions: teaching, research, and community service/engagement. The teaching services include planning, implementing, and evaluating the learning process. Included in the teaching/learning task, HETPs also are expected to supervise students and train junior lecturers. The second main task is doing research with an expectation of an associated scientific publication. Finally, the HETP are expected to perform community services/engagement in the form of technology and innovation transfer. They also must perform additional tasks at the administrative or structural positions of the university. Credit points earned from all these activities constitute a proposal for academic promotion.

ACADEMIC PROMOTION OF HIGHER EDUCATION TEACHING PERSONNEL

HETPs play a critical role in the provision of higher education services. Therefore, the Government of Indonesia pays close attention to their professional development and career advancement. Professional development covers the following aspects: pedagogic, personality, social, and professional competencies. Career advancement includes: assignments, grade improvement, and promotion in academic position. The normal promotion process for different levels of position has some different requirements. However, three requirements that are the same for all levels are that the candidate: 1) must spend at least two years at their current position before promotion; 2) must fulfill the credit point requirement both for each level of promotion and cumulative total; and 3) must be approved by the faculty and university senate. In terms of journal publications there are different requirements for promotion. For promotion from assistant lecturer (AL) to lecturer (L), the publication requirement is only to be the main or corresponding author in a national accredited journal. For promotion from lecturer (L) to senior lecturer (SL), two journal publications are required, at least one in an internationally reputable journal (indexed) and one in a nationally accredited journal, as main or corresponding author. Promotion from senior lecturer to professor (P) the requirement is to have had a Ph.D. degree for at least three years, to have served as HETP for at least ten years, and to have published research article(s) in internationally reputable journal(s) (indexed) as main or corresponding author plus two articles in nationally accredited journals.

Besides the normal promotion process there is also an opportunity for special promotion from AL to SL (without going through the L

position) and from L to P (without going through the SL position). There are requirements which are the same: 1) must spend at least four years in the current position before proposed promotion; 2) must fulfill credit points requirement both for each level of promotion and cumulative total; 3) must have a doctoral degree; and 4) must be approved by the university senate. The difference is only in terms of the number of publications required in internationally reputable (indexed) journals as main or corresponding author. For AL to SL the requirement is two published journal articles, while special promotion from L to P is three. Given that the population of HETPs in Indonesia is rather large, there is high demand for publications in internationally indexed journals. This can be difficult considering the amount of time required for an article to be accepted and the emergence of the international journal in question.

As stated earlier, the basic requirement for all levels of promotion is fulfilling the credit points for each level of promotion, and the cumulative total. The structure of the credit points required for different level positions and promotions are as in the Table 2 below.

Table 2: Credit points requirements for promotion at different academic levels

No	Academic Position	Grade Level	Requirement of Credit Points	
			Cumulative Minimum	For Each Level
1	Assistant Lecturer/AL (Asisten Ahli)	III/A	100	100
		III/B	150	50
2	Lecturer/L (Lektor)	III/C	200	50
		III/D	300	100
3	Senior Lecturer/SL (Lektor Kepala)	IV/A	400	100
		IV/B	550	150
		IV/C	700	150
4	Professor/P (Guru Besar)	IV/D	850	150
		IV/E	1,050	200

Source: Directorate General of Higher Education (DGHE), 2013

As the major tasks of higher education institutions cover three areas: education, research and community services/engagement, these are the major sources of the credit points (minimum eighty percent are earned from activities in these three areas). The rest (maximum twenty percent) come from supporting elements (sitting on committees, etc.). The composition of credit points from the three main tasks (at least eighty percent) are as follows:

1. a minimum of 30 percent from education and learning processes;
2. a minimum of 25 percent from research; and
3. a maximum of 15 percent from community service.

Each task has a set of activities from which the credit points for KPIs are obtained. In the task of education and learning, obtaining a higher degree (master's or Ph.D.) will earn credit points 150 and 200, respectively. This provides incentive for young HETPs to pursue higher degrees. The activities in the learning services task include: teaching/tutoring; guiding and supervising student seminars, fieldwork, writing project papers/thesis/dissertation; perform as examiner; develop course/subject and learning materials; give scientific speeches; provide guidance to lower level HETPs on how to perform their tasks; and self-competency improvement. The credit points for those activities range from 0.5 to 20.

The research activities include, but are not limited to, the following: producing scientific output (both published and un-published) in the form of monograph, reference book, journal article (national and international), presenting a paper in a seminar (national and international level), popular writing of scientific content in a newspaper, magazine, or other public media. Other activities are: translating scientific books from foreign languages which can be distributed nationwide, and obtaining a patent for research and an innovative product. Credit points for those activities range from 1 - 60 with the highest number of points for obtaining a patent for research and innovation activities (sixty points) followed by publication in an international indexed journal and publishing a scientific reference book (forty points).

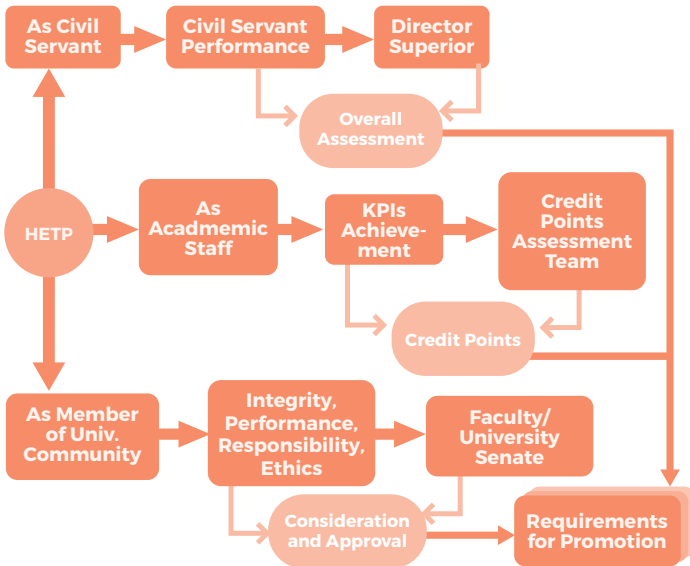
The third task for HETPs is community services/engagement which, among other things, includes: being seconded from HEI to a government ministry or agency; conducting technology development

to help solve problems in the community; providing training/extension for the community; providing support to a government agency to perform development activities; and writing a paper about a community services/engagement activity and having it published. The points for these activities range from 0.5 – 5.5.

Aside from these three main tasks, HETPs also can earn smaller numbers of credit points (from 0.5 - 5) for KPIs from activities related to academic supporting activities. These activities include: sitting on a committee at the university level or in a committee set up by the government; being a member of a professional association (at international and national level); representing the university on an inter-institution committee; being a member of a national delegation to an international meeting; getting an award from education/learning activities performed; and being a member of the HETPs promotion team.

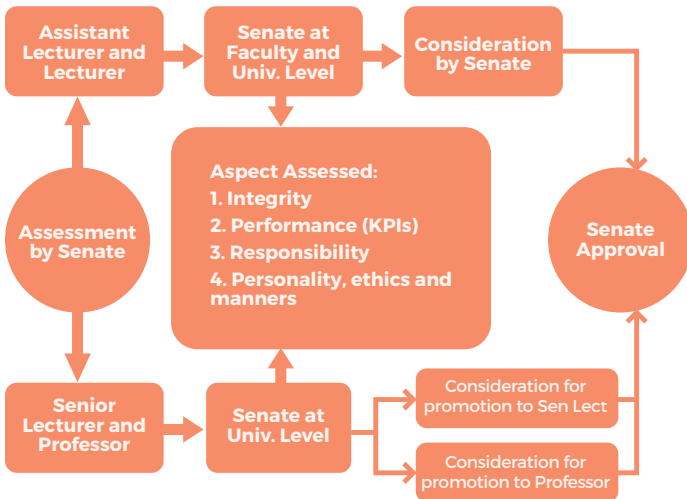
Promotions for HETPs also take into account his/her performance both as a civil servant and as a member of the university community. As a civil servant, assessment will be given by the direct superior, while as a member of the university community consideration and approval will be decided by the senate at faculty level for promotion of assistant lecturer/AL and lecturer/L, and at the university level for promotion of senior lecturer/SL and professor/P. These, together with the credit point assessment, form the overall process for HETP promotion and grade improvement (Figure 1). Consideration and approval by the senate, both at the faculty and university level, focuses on integrity; responsibility; personality, ethics and manners in addition to the credit points of KPIs (Figure 2).

Figure 1: Overall process of HETP promotion and grade improvement



Source: TPAK/DGHE (2013)

Figure 2: Consideration and approval by Senate (both at Faculty and University level)

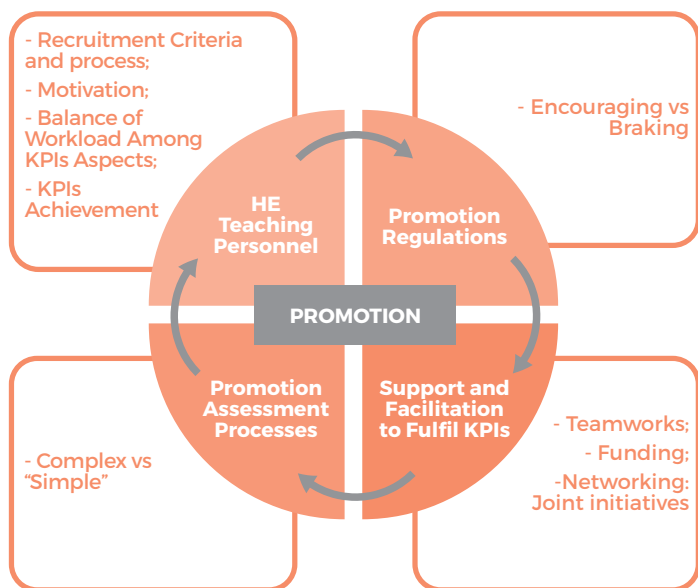


Source: TPAK/DGHE (2013)

ASPECTS AND ISSUES REGARDING HIGHER EDUCATION TEACHING PERSONNEL

FROM THE description and framework presented earlier, there are at least four aspects and associated issues related to the promotion of higher education teaching personnel. The four aspects are: 1) information related to the HETP him/herself; 2) promotion regulations; 3) promotion assessment processes; and 4) support and facilitation to fulfill credit points for each KPI. Figure 3 summarizes those aspects and issues related to HETP promotion.

Figure 3: Aspects and issues for in HETP promotion



The aspect related to individual HETPs

Recruitment criteria and process are important aspects of both initial employment and promotion. Teaching in higher education requires that one have strong motivation for research as it is one of the major components of KPI and credit points. Therefore, the criteria and recruitment process should be such that those recruited are able to perform the task well. This implicitly suggests that HETPs be recruited from among doctoral degree holders. However, in Indonesia, most successful recruits only have a master's degree, and, in some cases, only an under-graduate degree, with the agreement that if they are accepted they will be obliged to undertake master's and doctoral degrees. There have been cases where HETPs holding a master's degree were reluctant to proceed with a doctoral education (since master's degree already gave them the minimum level of requirement to be HETP). In this situation there is a need to consider that the education level criteria of those who would like to apply should be a doctoral holder in the field he/she is applying for.

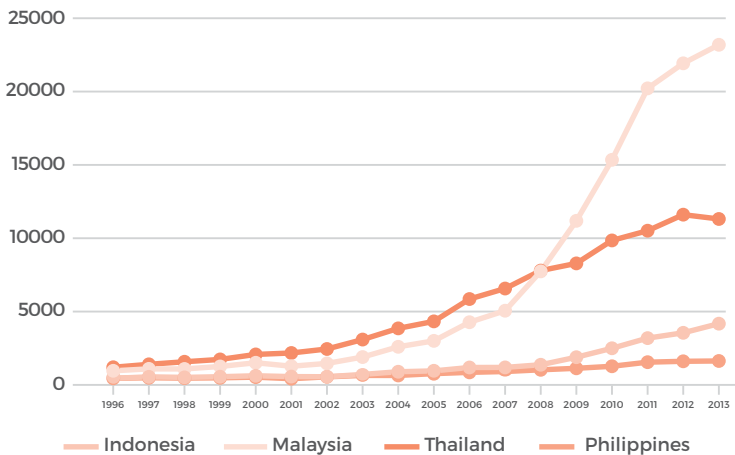
Promotion regulation and supports to fulfill KPIs

HETP promotion requires earned credit points to fulfill the KPIs. In terms of promotion regulation, the concern of HETPs is that these requirements have been increased from time to time, especially with regard to research article publication in reputable/indexed international or nationally accredited scientific journals. One concern is that the regulation puts brakes on the promotion process if support to produce the outputs to fulfill KPIs is not sufficient. In this regard, HETPs need support (financial and administrative, teamwork, and networking development) to be able to perform the required tasks in education, research, and community services/engagement. Financial support, in particular, is a major constraint as the government budget for research is limited (0.8 percent of GDP). The performance of Indonesian researchers in terms of publications is slow compared to Malaysia and Thailand (see Table 3). The overall country ranking of Indonesia is 61 (SJR, 2014).

Table 3: Total documents published in internationally indexed journals, (as compared to Malaysia, Thailand and the Philippines) (SJR, 2014)

	Indonesia	Malaysia	Thailand	Philippines
1996	540	961	1,203	448
1997	550	1,094	1,403	486
1998	512	1,087	1,578	461
1999	558	1,257	1,737	482
2000	623	1,510	2,078	528
2001	566	1,273	2,176	422
2002	556	1,464	2,448	549
2003	714	1,898	3,092	646
2004	896	2,598	3,854	644
2005	955	3,003	4,331	767
2006	1,187	4,273	5,855	855
2007	1,192	5,058	6,571	912
2008	1,373	7,741	7,795	1,029
2009	1,887	11,187	8,285	1,131
2010	2,497	15,345	9,850	1,270
2011	3,189	20,219	10,514	1,549
2012	3,551	21,926	11,607	1,609
2013	4,175	23,190	11,313	1,631

Source: Author's table



A closer look at the articles published reveals that most of them were products of international collaboration, even though this proportion decreased from year to year (Table 4). This indicates that there is a need to improve the number of documents/articles both from nationally organized research, as well as from international collaborative research. This will require financial, administrative, research networking development, and publication support to HETPs.

Table 4: Proportion of documents produced through international collaboration (SJR, 2014)

	Documents	Citable Documents	Cites	Self Cites	Cites per Doc.
1996	540	536	9,251	780	17.13
1997	550	548	8,821	866	16.04
1998	512	505	8,617	687	16.83
1999	558	552	9,309	931	16.68
2000	623	617	12,174	1,275	19.54
2001	566	558	9,729	865	17.19
2002	556	543	9,345	786	16.81
2003	714	688	10,832	1,083	15.17
2004	896	851	13,390	1,286	14.94
2005	955	911	12,883	1,302	13.49
2006	1,187	1,145	14,185	1,443	11.95
2007	1,192	1,141	13,495	1,665	11.32
2008	1,373	1,316	13,374	1,631	9.74
2009	1,887	1,787	15,097	1,759	8.00
2010	2,497	2,307	10,871	1,713	4.35
2011	3,149	2,994	8,487	1,468	2.70
2012	3,551	3,429	4,555	861	1.28
2013	4,175	4,033	1,280	349	0.31

The validity of the journals where some research articles have been published has also been the subject of scrutiny during the process of promotion assessment. The DGHE, by using information from credible sources and by checking the website of the journal, has warned HETPs to consider not publishing their articles in a number of journals that are either not accredited or suspected of not being valid scientific journals. These include both national and international journals. The promotion and invitation to publish in various journals were

aggressively conducted through email. Therefore, there is a suspicion that some of the journal publishers would publish any article as long as the author(s) pays the publication fee, and that the management of the publication is not properly handled (Official Website of DGHE and Beall, J. 2012.). Some HETPs may have been victims of these kinds of journals. Therefore, there is a need to consider a joint initiative in the Asia and the Pacific region to provide information, awareness, and

Self Cites per Doc.	Cited Docs.	Uncited Docs.	% International Collaboration	% Region	% World
1.44	431	109	71.11	0.33	0.05
1.57	473	77	74.73	0.30	0.05
1.34	437	75	74.02	0.27	0.04
1.67	484	74	71.86	0.29	0.05
2.05	518	105	71.59	0.30	0.05
1.53	469	97	69.96	0.25	0.04
1.41	460	96	67.99	0.24	0.04
1.52	573	141	77.45	0.27	0.05
1.44	713	183	78.57	0.28	0.06
1.36	710	245	74.76	0.26	0.06
1.22	858	329	71.86	0.26	0.06
1.40	870	322	73.15	0.25	0.06
1.19	967	406	72.69	0.25	0.06
0.93	1,258	629	66.93	0.31	0.08
0.69	1,397	1,100	63.12	0.37	0.11
0.47	1,565	1,584	54.27	0.41	0.13
0.24	1,367	2,184	56.58	0.44	0.14
0.08	606	3,569	53.89	0.51	0.16

joint publication of scientific journals as the demand for publication increases. Even an initiative to develop a regional journal index together with assistance to improve the management and quality of nationally accredited journals would help the HETPs to have opportunities to publish their research articles in properly managed scientific journals.

The other issues related to research and publications of Indonesia HETPs are related to their teaching load. The pressure to increase

higher education participation of high school graduates (at the moment around twenty-eight percent) has demanded HEIs to increase the number of new students. It means that HETPs have to spend more time in classroom teaching, thus, reducing time available to research and write scientific journal articles.

While, in terms of promotion assessment, the concerns were on the complexity of the processes (Figure 1 and Figure 2), the problems facing and expressed by HETPs include:

- Lack of HETPs understanding the requirements for promotion;
- Difficulty of completing all documents about KPIs with all necessary supporting evidence;
- Low motivation by the HETPs to prepare and submit all requirements for promotion (in some cases);
- Changes in the regulations for promotion by DGHE, including requirements for promotion to professorship level;
- Inadequate understanding of the regulations for assessing and calculating the KPI points obtained;
- Delay in submitting the promotion documents from unit/faculty to the university;
- Lack of supporting staff capacity in processing promotion submissions; and
- Lack of supporting equipment and facilities.

Taking a closer look at these problems, some are related to the HETPs themselves, others are related to awareness and understanding about regulations, and the rest are about the processes and the role of supporting staff.

CONCLUDING REMARKS

THE ACADEMIC promotion of HETPs is important for career advancement and for providing incentive for better performance. A system of academic promotion has been developed in Indonesia to facilitate the movement of HETP to higher academic positions. In order to improve the system, there are four aspects with associated issues which need to get attention, namely: the HETP him/herself, promotion regulations, promotion assessment processes, and support and facilitation for fulfilling KPIs. In terms of publications in internationally reputable journals as one of the major requirements, there is a need to give attention to the increasing demands for such publications and the academic quality of the journals. Addressing these aspects and issues will provide a strong basis for HETPs to improve their performance and advance their careers.

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APPENDIX

	Country	Documents	Citable documents	Citations	Self-Citations	Citations per Doc.	H index
1	United States	7,846,972	7,281,575	152,984,430	72,993,120	22.02	1,518
2	China	3,129,719	3,095,159	14,752,062	8,022,637	6.81	436
3	United Kingdom	2,141,375	1,932,907	37,450,384	8,829,739	19.82	934
4	Germany	1,983,270	1,876,342	30,644,118	7,966,777	17.39	815
5	Japan	1,929,402	1,874,277	23,633,462	6,832,173	13.01	694
6	France	1,421,190	1,348,769	21,193,343	4,815,333	16.85	742
7	Canada	1,110,886	1,040,413	18,826,873	3,580,695	20.05	725
8	Italy	1,083,546	1,015,410	15,317,599	3,570,431	16.45	654
9	India	868,719	825,025	5,666,045	1,957,907	8.83	341
10	Spain	857,158	800,214	10,584,940	2,629,669	15.08	531
11	Australia	782,149	723,460	11,447,009	2,449,459	18.24	583
12	South Korea	658,602	642,983	5,770,844	1,281,366	11.49	375
15	Brazil	529,841	510,194	4,164,813	1,415,014	10.98	342
31	Hong Kong SAR	180,958	172,610	2,448,025	340,370	15.53	325
32	Singapore	171,037	163,153	2,051,237	278,461	14.42	308
34	New Zealand	146,264	135,988	2,084,166	327,237	17.20	318
37	Malaysia	125,084	121,714	497,646	133,502	8.68	145
43	Thailand	95,690	91,925	790,474	134,626	12.09	190
46	Pakistan	70,208	67,491	328,281	94,655	6.95	130
61	Indonesia	25,481	24,461	185,695	20,750	11.86	126
62	Bangladesh	23,028	22,286	147,791	28,986	9.26	112
66	Vietnam	20,460	19,854	161,813	23,690	12.89	122
70	Philippines	15,419	14,601	179,820	19,058	15.09	131
79	Sri Lanka	9,637	9,079	76,926	7,582	10.78	96
93	Nepal	7,007	6,398	53,576	6,853	10.76	80



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**ACADEMIC PROMOTION
OF HIGHER EDUCATION
TEACHING PERSONNEL
IN JAPAN**

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NATIONAL OVERVIEW

Introduction

The academic promotion system in Japanese universities is at a turning point. Since Japanese universities were re-established in 1947, in the aftermath of the nation's defeat in World War II, academic promotion for university teaching personnel has been decided by the president of each institution following strict procedures required by faculty councils (教授会). These councils were established to ensure respect for the spirit of academic freedom and the university's autonomy, which is protected by the following acts and standards: The Basic Act on Education (教育基本法), the School Education Act (学校教育法), and the Standards for the Establishment of Universities (大学設置基準). These acts and standards were promulgated and went into force in 1947. Coincidentally, 1947 was the same year that the country's new constitution went into effect. These acts and standards were referred to as guidelines for the treatment of university teaching personnel concerning academic promotion in all universities. However, in June 2014, the amendment of the School Education Act cleared the Diet. Consequently, the amended School Education Act is due to go into effect by late 2015, and will inevitably change the decision-making mechanisms pertaining to promoting teaching personnel in Japanese universities. This contentious issue will be discussed later in this paper.

National Standards and Guidelines

The issues of concern are as follows and are quoted from the acts and standards mentioned above. First, the Basic Act on Education, Chapter II, Article 7 defines the autonomous nature of university education and research, as follows:

‘(1) Universities, as the core of scholarship activities, shall cultivate advanced knowledge and specialized skills, inquire deeply into the truth and create new knowledge, while contributing to the development of society by broadly disseminating the results of their activities. (2) University autonomy, independence, and other unique characteristics of university education and research shall be respected’.

The School Education Act, Chapter IX, Article 93 stipulates the decision-making mechanism in universities, and reads as follows: ‘In universities, a Faculty Council must be established to deliberate important issues’.

Chapter IX of the Special Rules for the Public Educational Personnel and Staff Act (教育公務員特例法), Article 3 defines the procedures regarding selecting and promoting teaching personnel in national universities, as follows: ‘The President shall decide about selection as well as promotion of teaching personnel based upon the deliberation of the Faculty Council’.

This legislation was enacted in 1949 and remained in force until 2004 when the National University Corporation Act (国立大学法人法) went into effect and all of the educational and administrative staff in the national universities had their juridical status as civil servants removed. Although these special rules were eventually annulled in compliance with the enforcement of the National University Corporation Act in 2004, Article 3 of the School Education Act still declares that the faculty council has to fulfil its duty ‘to deliberate important issues’ in each university so that the president can decide on the basis of the deliberation by the faculty council.

However, this situation will not continue forever. As mentioned earlier, an amendment to the existing School Education Act cleared the Diet in June 2014, and will go into effect later in 2015. The faculty councils will no longer have a right or duty ‘to deliberate important issues’ in universities.

Finally, the Standards for the Establishment of Universities, Chapter IV, Article 14 defines the qualifications for university teachers:

‘A person who is permitted to be a professor shall be a person falling under any of the following items who is recognized to have the educational abilities suitable for taking charge of the education

offered by a university: (i) a person who has a doctor's degree (including degrees equivalent thereto that have been conferred in foreign countries) and who has made research achievements; (ii) a person who has made research achievements that are recognized to be equivalent to that of the person set forth in the preceding item; (iii) a person who has a professional degree prescribed in Article 5-2 of the Degree Regulations (Ordinance of the Ministry of Education, Science, and Culture No. 9 of 1953) (including degrees equivalent thereto that have been conferred in foreign countries) and who has made practical achievements in the major of the said professional degree; (iv) a person who has a career working as a professor, associate professor, or full-time instructor at a university (including a career working as a teacher equivalent to these in foreign countries); (v) a person who is recognized to have special skills in arts, sports, etc.; and (vi) a person who is recognized to have excellent knowledge and experience, in particular, in his or her major'.

CRITERIA FOR ACADEMIC PROMOTION

AS SEEN from the standards quoted above, the criteria for academic promotion for teaching personnel in universities is conventionally defined as follows: having a doctorate degree, academic achievements especially in research, and appropriate career and teaching experience.

Having a doctorate degree or equivalent status in academia is the minimum requirement to be promoted from associate professor to full professor. As for academic achievement, publications are paramount. Although citation count is usually regarded as important in academia as well as among researchers in the natural sciences, researchers in the humanities and social sciences do not agree that the quantity of academic papers is paramount. They prefer to evaluate the quality of their papers within their academic circles. Besides publishing papers, patent applications are also important, especially in such fields as applied sciences, engineering, and technology. They sometimes have quarrels with their universities regarding patent rights. On the other hand, teaching experience in courses and laboratories is usually considered less important than research achievements such as publications and patent applications, especially in leading research-oriented universities where experience in supervising doctoral theses is considered evidence of excellence in teaching. Specific competences and skills are considered in such fields as architectural design, fine arts, and physical education. However, these indicators are not explicit in most cases.

These criteria are commonly assumed and shared among teaching staff in universities where researchers in their specialized fields belong to academic circles outside of their universities. University teaching personnel are highly respected as autonomous, self-controlled, and independent professionals, so long as they devote themselves to research. In that case, their academic promotion system should not be just *de facto* independent of a managerial promotion system in the university but *de jure*.

PROCEDURES FOR ACADEMIC PROMOTION

IN JAPANESE national universities, the number of academic positions, such as professors, associate professors, lecturers, and associate lecturers are fixed at each faculty or school. The existing, conventional mechanism that manages the promotion of academic personnel in leading Japanese national universities functions as follows: First, in each faculty (school, college, or graduate school) of a university, a faculty council is established to deliberate on important issues as stipulated in Article 93, Chapter IX of the School Education Act. These ‘important issues’ conventionally comprise personnel affairs including:

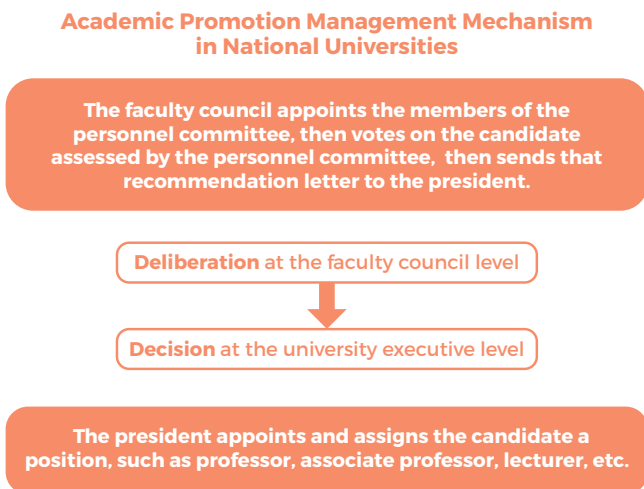
- selecting and promoting faculty members and selecting the dean;
- organizing the departments, divisions, committees and units within the faculty;
- allocating budget to departments, committees, and units for education;
- overseeing research and administration;
- managing course curriculum, entrance examinations, degree examinations; and important issues related to education and research.

The members of the faculty council, usually consisting of lecturers, associate professors, and full professors of the faculty, deliberate on these issues in monthly faculty meetings.

To promote a teacher to a higher rank in the faculty when a vacant position is available, the faculty council starts by voting to appoint

a personnel committee. These appointees examine the candidates to promote them to the vacant position, reporting their conclusions to the faculty council. Next, the faculty council members vote on the candidates who were examined by the personnel committee. These procedures are the most common way of ‘deliberating’ promotions for teaching faculty. Once the faculty council concludes that an approved candidate is qualified for the position, the dean sends his recommendation to the president. Finally, the president, with the authority to appoint, decides and assigns the qualified candidate to the appropriate position in the university. This is the existing decision-making mechanism regarding promoting teaching personnel at the university level. Deliberation and decisions are made following the acts and standards concerned.

Figure 1: Academic Promotion Management Mechanism in National Universities



Source: Author's figure

Case Study 1: The Distribution of Professors, Associate Professors, Lecturers, and Assistant Lecturers at Osaka University

As of May 2014, Osaka University had 3,155 teaching staff including full professors, associate professors, lecturers, and assistant lecturers.

The distribution of positions is as follows: 922 full professors, 854 associate professors, 236 lecturers, and 1,143 assistant lecturers. The majority of professors fall in the 55–64 year age group (500 persons); the largest number of associate professors fall in the 35–44 year age group (400 persons); the majority of lecturers fall in the 35–44 year age group (119 persons); the majority of assistant lecturers fall in the 35–44 year age group (612 persons); and, a number of assistant lecturers (367) also fall in the youngest age group of 25–34 years. This shows that teaching staff are usually promoted based on seniority.

Interestingly, professors occupy the second largest population among all teaching staff (922 out of 3,155). Among the 623 who are 55–64 years old, 500 (about 80 percent) are professors. In other words, if teaching staff continue to work until age 50, they are likely to be promoted to the rank of professor in Japanese universities.

Figure 2: Faculty Members Categorized by Age (Osaka University, 2015)

	Professors	Associate Professors	Lecturers	Assistant Lecturers	Total / Ages
25–34 yrs. old	0	23	27	367	417
35–44 yrs. old	41	400	119	612	1,172
45–54 yrs. old	369	349	75	138	931
55–64 yrs. old	500	82	15	26	623
Over 65 yrs. old	12	0	0	0	12
Total / Positions	922	854	236	1,143	3,155*

**This includes specially appointed teaching staff (full-time), teachers, and researchers in endowed chairs.*

PROBLEMS AND IMPACTS

1. Personnel Assessment

As mentioned in Section I (National Overview), the National University Corporation Act went into effect in 2004, and this act converted all of the eighty-nine national universities that existed at the time into independent autonomous entities. Accordingly, all of the education and administrative staff working in the national universities became employees (non-civil servants) of those institutions following this act. At the same time, each university started to introduce a faculty assessment system, which was deployed at around eighty percent of national universities over five years (Shimada et al., 2009).

The assessment criteria include individual performance in publishing and the academic impact of those publications, teaching (class and laboratory instruction, thesis supervision etc.), contributions to institutional administration (experience in governing a committee, administrative unit etc.) and social action (activities in the local community, consultations with private companies etc.). The situation overall looks like progress in the academic promotion mechanisms of national universities. However, only 3.4 percent of all national universities utilize the faculty assessment system for academic promotion in contrast to 36.3 percent of private universities. Moreover, 51.7 percent of national universities do not plan to utilize the results of faculty assessments for academic promotion in the future, while only 15 percent of the private universities do not plan to utilize the results (Shimada et al., 2009: 70). This raises important questions about progress in all national universities.

One problem regards who should conduct personnel assessments. Top-down management is not optimally appropriate in Japanese universities. Conventionally, academic freedom and university autonomy should be protected by the faculty council's autonomy and authority. If each faculty council had spontaneously started to conduct a personnel assessment of its own members for itself, then there should have been no problem. Unfortunately, this has not been the case. As for research, peer assessment might satisfy the nature of university teaching personnel, as they practice it in their academic circles. When it comes to teaching, university professors have yet to develop formal standards to evaluate teaching, and so they are reluctant to practice teaching assessments among themselves. They still refuse to utilize the results of teaching assessments for the purposes of academic promotion, especially in leading research universities where research is prioritized over teaching.

2. Limited Short-Term Appointment

The Act Regarding the Limited Term Appointment of University Teaching Personnel (大学の教員等の任期に関する法律) was enacted in 1997. This act legitimated the 1-5 year contract employment of teachers and researchers at public higher education institutions, including national universities. The 1997 act's objective is, 'to create a situation where the academic exchange between teaching personnel shall be retained' and thereby 'enhance the constant mobilization of human resources at universities and other institutions and contribute to the development of education and research at universities and other institutions'. After this act was passed, new teaching and research staff have rarely been appointed to permanent positions. Some institutions failed to renew their contracts and, consequently, staff were out of work after their term expired. In contrast, existing tenured associate and full professors who were never subject to this act are allowed to stay in permanent positions. Some maintain that this is not fair.

3. The Tenure Track System

Currently, new assistant lecturers usually are employed on untenured, limited-term (1-5 years with one additional year in some cases) contracts. When they renew their contract, they are supposed to be promoted to a higher ranking position: lecturer, then associate professor, and then full professor. They may be appointed either to a permanent

position with tenure or another limited-term contract without tenure. However, the criteria for deciding on promotions cannot be balanced in most cases. The evaluation focuses mainly on research achievements in a specialized field of study. Therefore, young university teaching staff may be encouraged to concentrate on research so that they can produce as many publications as possible. Otherwise, the contract may not be renewed.

Case Study 2: The Tenure Track System

The Okinawa Institute of Science and Technology (OIST) Graduate University is an interdisciplinary graduate school established in 2011 as a private university although it relies on public subsidies. It began classes in September 2012, offering a five-year Ph.D. programme. Over half of the fifty-two faculty members were expatriates as of June 2014, and education and research at the Institute was conducted in English. The OIST looks like a good example of a cutting-edge research university in Japan modelled after an American institute of technology. The OIST *Faculty Handbook* denotes a pioneering concept of academic promotion for university teaching personnel based on the tenure track system. It seems that the right of the university teaching personnel to renew contracts is ensured on the condition that they undergo a personnel assessment before the contract terminates. However, it also gives a typical example of a promotion standard that is biased towards research achievements.

‘3.2.4.3 Appointment and Promotion: the University will use standard, tiered ranks of appointments enabling the smooth transfer of personnel between institutions and enhancing recruitment at appropriate levels to maintain world-class standards of faculty teaching and research. This will consist of a tenure-track system comprising assistant professors, associate professors, and professors. Appointments may be made at any of these levels. Tenure carries with it a commitment of employment until retirement. However, it does not guarantee internal research support. Tenured faculty will compete along with their fellow tenured and non-tenured faculty colleagues for internal research funding on a five-year cycle.

The assistant professor rank is an untenured position. Assistant professors are hired for a seven-year term with an evaluation

by the end of year five, after which they may be promoted to associate professor, or their contracts may be terminated at the end of the seven-year term. Outstanding assistant professors may be promoted sooner. In general, promotion to associate professor includes tenure, but under exceptional circumstances (e.g. illness) it may not include tenure.

Similarly, the initial appointment to associate professor, in general, includes tenure, but it may be made without it. Associate professorships will be reviewed for promotion to full professor during the fourth year of the initial five-year appointment. Early review will be permitted in exceptional circumstances. As an exception, an untenured associate professor may be granted a second untenured five-year appointment. A third appointment as an untenured associate professor will not be offered. If tenure is not granted, subsequent review may be considered only if there is a significant advance in the associate professor's research achievements.

Normally, the full professor position denotes tenure, although there may be some situations where this is not the case, such as when the individual is beyond the retirement age or is appointed as a distinguished professor' (OIST *Faculty Handbook*, 2015).

As read in the above quote, 'significant advancement in research achievement' is important for academic promotion.

4. The Amendment Bill for the School Education Act

An amendment bill for the School Education Act went through the Diet's upper house plenary session on 20 June 2014, and was promulgated on the 27th of that month despite strong opposition from the university teaching union. The amended School Education Act will go into effect later in 2015. The amended Article 93 stipulates the role of the faculty council in universities as follows:

In universities, the faculty council must be established to comment if the president must make a decision on the following issues: admission, graduation, and completion of academic programmes; conferment of degree; other important issues that the president recognizes are necessary for consulting the faculty council. The

faculty council is able to deliberate and comment on issues related to education and research that the president and dean administer’.

The above amendment limits the level of faculty council involvement in commenting on education and research. Regarding other important issues, if the president does not find it necessary to request assistance, then the faculty council is not allowed to comment.

Furthermore, this Act could signify that Japanese universities are at a turning point from the conventional, faculty-based collegial system to a system characterized by more radical, top-down management for academic promotions. For example, the amendment to Article 93 of the School Education Act makes it possible for the president to select a candidate regardless of the faculty council. This Act may open the gate for despotic university governance by the president, considerably diminish the faculty council’s authority, and eventually undermine academic freedom and university autonomy.

5. Promoting Gender Equality

In Japanese universities, there are more male than female faculty. In order to address this gender imbalance, the government has been encouraging universities and the other higher education and research institutions to hire more females. However, despite the encouragement of the government, the number of female teachers has only slightly increased (see table below).

Figure 3: Teaching Staff in Japanese Universities, and the Gender Imbalance between Males and Females: 2009–2013

	Total	Male	Female	National Universities	Public Universities	Private Universities	% of Female Staff
2009	172,039	138,509	33,530	61,246	12,402	98,391	19.5
2010	174,403	139,349	35,054	61,689	12,646	100,068	20.1
2011	176,684	140,260	36,424	62,702	12,813	101,169	20.6
2012	177,570	139,850	37,720	62,825	12,876	101,869	21.2
2013	178,669	139,639	39,030	63,218	12,871	102,580	21.8

Source: Ministry of Education, Culture, Sports, Sciences, and Technology, 2015

Case Study 3: Male and Female Teaching Staff at Osaka University

Osaka University has been promoting gender equality since 2004 and set the Basic Principle for Facilitating Diversified Human Resources in April 2005. The 2005 principle states the following: ‘Osaka University declares the promotion of diversified human resource development and facilitation by adjusting its working environment for the purposes of enhancing quality education and research based on the spirit of the Basic Act for a Gender-Equal Society that positions gender-equal participation as urgent for Japan in the twenty-first century’.

Osaka University recently finalized the Osaka University Basic Plan for Promoting Gender Equality for 2011–2015. This basic plan has the following six pillars: 1) to foster consciousness regarding gender-equal participation in society; 2) to promote the participation of female teaching and administrative staff as well as female students; 3) to promote the realization of work-life balance so that the members of Osaka University can manage to work and raise their children at the same time; 4) to adjust the work environment for employees and the learning environment for students at Osaka University for gender-equal participation; 5) to collaborate and exchange with external bodies; and 6) to enrich the promotion of the above issues.

Osaka University also set up the Support Office for Diversity Promotion in Human Resources that practices such activities as gender equality seminars. In spite of these efforts over several years, the number of female faculty members there still falls below the national average.

Figure 4: The Number of Male and Female Faculty Members at Osaka University as of 1 May 2014 by Percentage

Professors		Associate Professors		Lecturers		Assistant Lecturers		Total		Percentage of female staff
M	F	M	F	M	F	M	F	M	F	
859	63	747	107	183	53	952	191	2,741	414	15.1%

Source: Osaka University Support Office for Diversity Promotion in Human Resources, 2015

CONCLUSION

HOW SHOULD a system be designed for the fair treatment of university teaching personnel with regard to academic promotion? The following four conditions are important considerations: 1) respect faculty council deliberation assisting the president on academic promotions for teaching personnel at the university level; 2) link the current faculty assessment system with academic promotions to emphasize the evaluation of teaching performance; 3) avoid repeated short-term contracts and switch the newly hired assistant lecturer rank from an untenured to a tenured position upon contract renewal; and 4) support and empower female teaching staff to pursue their career paths in universities. These four conditions are necessary for Japanese universities to amend the present, flawed academic promotion system and promote a just and fair work environment where teachers and researchers can perform their activities responsibly.

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**ACADEMIC PROMOTION
OF HIGHER EDUCATION
TEACHING PERSONNEL:
A KOREAN CASE**

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CONTEXT AND BACKGROUND OF ACADEMIC PROMOTION

THE 1997 UNESCO Recommendation concerning the Status of Higher Education Teaching Personnel (“HE teaching personnel” hereafter)⁴⁰ underscores the need for a fair and transparent system of ‘career development’ for higher education teaching personnel. Career development in this paper includes, but is not limited to, “clear procedures for appointment, tenure where applicable, promotion, dismissal, and an effective system of labour relations” (UNESCO, 2014). ‘Academic promotion’ in this paper roughly corresponds with the aforementioned ‘career development’ used in UNESCO (2014), unless otherwise specified.

Establishing “a fair, transparent, comprehensive and merit-based system of academic promotion of higher education teaching personnel” is the core of the UNESCO recommendation in 1997. In the case of the Republic of Korea (Korea), during the military dictatorship until late 1980s, the government had strong control over university management including faculty promotion policies through the government-appointed presidents at national universities. The government also wielded great influence over private universities through the power to appoint and dismiss members of their board of trustees (the supreme decision-making body) as well as the power

⁴⁰ In this report, ‘higher education teaching personnel’ refers to “all those persons in institutions or programmes of higher education who are engaged to teach and/or to undertake scholarship and/or to undertake research and/or to provide educational services to students or to the community at large” as defined in Article I.1 (f) of the 1997 UNESCO Recommendation concerning the Status of Higher Education Teaching Personnel. “HE teaching personnel”, “professor”, “faculty member” will be used inter-changeably unless otherwise specified.

to control student enrollment. Particularly, the faculty reappointment policy,⁴¹ which was allegedly introduced in 1975 to abolish the complacent climate for education and research among faculty members was, in reality, used by the government and private university foundations to suppress faculty who resisted them. Accordingly, the review criteria for faculty reappointment were highly subjective and procedures were not transparent, which caused many problems.

The rejection of a faculty reappointment by a university was ineligible for lawsuit, while other disciplinary actions were eligible for lawsuits when faculty had objections to the result. This loophole was abused by private university foundations in many cases. In 1989, the Court practically eliminated any possibility for a professor who failed in reappointment to be reinstated by way of a lawsuit. The Court interpreted the rejection of faculty reappointment by a university as the “automatic termination of contract due to expiration,” one of the discretionary acts that the private university foundation can make an arbitrary judgment on. Based on this ruling, faculty members who were rejected for reappointment had no legal measures to pursue. Accordingly, this faculty reappointment policy was exploited to suppress professors who resisted the dictatorial governments in the 1970s and 1980s. In the 1990s, when democratization progressed in Korean society, the policy was also abused by some private university foundations to oppress professors who resisted them. Therefore, while it may be over simplified, the core issue related to faculty promotion policy in Korea until the 1990s was how to protect professors’ teaching and academic freedoms from this unreasonable policy regarding faculty appointment and promotion, which came from unfair political and authoritarian pressure.

However, in 2003, the Constitutional Court disagreed on the constitutionality of the provisions of the old Private School Act and other related acts and government decrees. It stated that rejection

⁴¹ It was originally named as “the university faculty fixed-term appointment system,” the purpose of which was to “remove faculty who [did] not study hard.” The Article 2 of 53, Clause 3 of the old Private School Act and the Article 11, Clause 3 of the Public Educational Officials Act prescribed that “a professor can be hired by fixed term.” In other words, according to the provision, it indicates that a professor will be “automatically fired” after the end of the appointment period as it only said that a professor “can be hired”, but no provision was detailed on the procedures and standards for reappointment or an appeal process.

of “reappointment” can be subject to judicial review. Accordingly, professors finally became able to make an appeal to challenge a disciplinary action which he/she regards as unfair. On this account, Article 3 of 11, Clause 2 to 8 of the Public Educational Officials Act and Article 53, Clause 4 to 8 of the Private School Act were added. Article 7, Clause 1 of the Special Act on the Improvement of Teachers’ Status was also revised to include unfair rejection of re-employment as a subject for judicial review. All of these changes allowed for significant progress in the system (Ham and Hong, 2007).

As democratization progressed in Korean society as described above, unjust external pressures on faculty promotion and related issues based on unfair and non-transparent procedures have been solved gradually.⁴² After the mid-1990s, and particularly in the 2000s, an issue related to faculty promotion that drew attention was faculty productivity. Since the June 10 democratization movement in the late 1980s, participation of internal stakeholders in decision-making processes within a university has been strengthened.⁴³ This, in turn, led to increased faculty influence on campus and made changing faculty promotion policies unfavorably extremely difficult. Accordingly, in most universities, the application of fairly loose standards of faculty promotion, reappointment, and conferral of permanent tenure has become universal. This has resulted in fostering a complacent culture among a considerable number of faculty members. Against this backdrop, new issues in Korean higher education have emerged: how to improve faculty productivity and encourage core members of universities to take a key role in enhancing

⁴² Since the Kim, Dae-Jung Administration (1998~2002) where Korea made a great leap forward in democratization of society in general, the number of appeals on the rejection of reappointment increased. In particular, during the subsequent Roh, Moo-Hyun administration (2003~2007), the number skyrocketed. It is worth noting that, while the acceptance rate of appeals remained low albeit the rapid increase in the number of appeals by professors during the Kim’s administration, the acceptance rate drastically increased by 60 percent during the Roh’s government after significant changes were made in the appeal system in 2005 (Um, 2013). These statistics shows that the protection of higher education teaching personnel’s rights considerably improved over the past couple of decades in Korea.

⁴³ Some symbolic examples of increased participation of faculty members in internal university governance at the time were the introduction of (1) a presidential election system by full-time professors and (2) a faculty senate which serves as a de-facto supreme decision-making body at most Korean universities.

national competitiveness? How can Korea encourage faculty to perform research and offer education in a direction that the nation, society, and companies demand?

This report was prepared as a Korean case study for the project entitled “Academic Promotion of Higher Education Teaching Personnel,” one of the UNESCO ERI-Net’s (Education Research Institute Network) international research projects organized by the UNESCO Bangkok Office. It consists of the following subsections. Section 2 provides an overview of the characteristics of the Korean higher education system and university professors, and describes national policies for university professors’ promotion, with a special focus on national laws and evaluation indicators included in university funding programmes. Section 3 analyses specific examples of the promotion system at three leading research universities in Korea. Lastly, Section 4, as a conclusion, discusses various issues and challenges in Korea related to the academic promotion of university professors.

NATIONAL POLICY OBJECTIVES AND THEIR IMPACT ON ACADEMIC PROMOTION

1. Overview of higher education system and teaching personnel in Korea

1) Korean higher education: Important characteristics

The three most salient features of Korean higher education can be summarized as: 1) the rapid expansion of higher education; 2) heavy reliance on private institutions; and 3) the highly centralized and bureaucratic nature of government control over university operations (Byun, 2007).

Table 1: Number of four-year HEIs, students and professors: 1970~2013

Type	1970	1980	1985	1990
Institutions	71	85	100	107
Public	15	20	22	24
Private	56	65	78	83
Students (A)	146,414	402,979	931,884	1,040,166
Public	36,038	114,686	243,378	254,748
Private	110,376	288,293	688,506	785,418
Professors (B)	6,526	11,796	19,808	25,337
Public	2,410	4,000	6,520	8,289
Private	4,116	7,796	13,288	17,048
A/B	22.4	34.1	47.0	41.1

Source: MOE and KEDI (1970~2013). Statistical Yearbook of Education.

As shown in Table 1, Korean higher education has witnessed a remarkable expansion over the last couple of decades in terms of both student enrollment and the number of institutions. Student enrollment in four-year universities has continuously increased from 146,414 in 1970 to 931,884 in 1985, and to 2,120,296 in 2013, forty-five times the number in the early 1970s. The number of institutions has shown a similar trend. During the same period, 114 higher education institutions (HEIs) were newly established, totaling 188 four-year institutions by 2013. It should be noted, however, that this rapid expansion of higher education in Korea has relied heavily on private institutions. The speed of expansion in the private sector was far faster than in the public sector. In particular, from the mid-1990s, with very few exceptions, only private universities were established, which increased the proportion of students attending private universities out of the total student population, from 72 percent in 1980 to 75 percent in 1995, and to 78 percent in 2013. Despite the steep rise in the number of higher education institutions and student enrolment over the last couple of decades, the number of professors has not grown accordingly. This trend suggests a general deterioration in educational conditions at universities in terms of the student-faculty ratio (Ryu et al., 2006:11).

Another unusual feature of Korean higher education is the strong control of the central government over a wide range of university operations. Until now, public universities in Korea, except for a few including Seoul

	1995	2000	2005	2010	2013	A/B
	131	161	173	179	188	22.4
	26	26	26	27	33	34.1
	105	135	147	152	155	47.0
	1,187,735	1,665,398	1,859,639	2,028,841	2,120,296	41.1
	295,941	372,078	400,668	428,173	471,368	35.0
	891,794	1,293,320	1,458,971	1,600,668	1,648,928	39.7
	33,938	41,943	49,2	63,042	63,042	37.8
	10,183	11,359	13,008	15,418	15,418	32.2
	23,755	30,584	36,192	47,624	47,624	33.6
	35.0	39.7	37.8	32.2	33.6	

National University, incorporated in 2012, are considered to be legal entities of the government. Thus, they are subject to various laws and ordinances regulating general government organizations. For private universities, more freedom has been allowed legally, but the government has traditionally maintained significant control over various aspects of university operations at private universities as well.

2) Higher education teaching personnel

A. The number and composition of faculty members

As shown in Table 2, the total number of HEI faculty members in Korea was 94,261 in 2013. By gender, the majority of faculty members were males (77.7 percent), and only a small percentage of them were international faculty members (7.1 percent). As for employment status, about 67 percent were full-time and 33 percent were part-time faculty members.

Table 2: Total number and composition of faculty members in Korea (2013)

Gender		Employment Status		Nationality		Total
Male	Female	Full-time	Part-time	Korean	Foreigner	
73,268	20,993	63,042	31,219	87,568	6,693	94,261
77.7	22.3	66.9	33.1	92.9	7.1	100(%)

Note: Full-time faculty members include (1) full-time tenure-track and (2) full-time non-tenure-track faculty members. (Source: KEDI-2013 Brief Statistics on Korean Education)

B. Full-time faculty members

The characteristics as described above can also be found among full-time faculty members alone. About eighty percent were males, and only eight percent were international faculty members (Table 3). By country of doctoral degrees conferred, about half of them received doctoral degrees from domestic institutions, and thirty-three percent received them from overseas institutions. However, there is a strong tendency in Korea to favor those with doctoral degrees from overseas institutions, such as in the U.S. and UK, especially in the field of social science.

Table 3: Total number of full-time faculty members in Korea (2013)

Gender		Nationality		Country of doctoral degrees conferred ⁴⁴		Total
Male	Female	Korean	Foreigner	Domestic	Overseas ⁴⁵	
49,974	13,068	58,023	5,019	32,338	20,757	63,042
79.3	20.7	92.0	8.0	51.3	32.9	100(%)

Note: Full-time faculty members include (1) full-time tenure-track and (2) full-time non-tenure-track faculty members. (Source: KEDI-2013, Brief Statistics on Korean Education)

2. National Policies for Academic Promotion of Higher Education Teaching Personnel

In the case of Korea today, individual universities are granted full autonomy for important decisions related to faculty career development, such as their initial appointment, contract renewal, promotion, and tenure conferral. The government does not intervene in these procedures directly. Except in very few cases as will be described below, individual universities make and implement relevant policies appropriate for their own situation within the boundary of relevant laws. On the other hand, 'New Public Management' grounded on neoliberalism has emphasized since the mid-1990s that a university performance evaluation is a core management principle for public institutions. Consequently, university performance evaluations connected with government financial

⁴⁴ Faculty members who do not have doctoral degrees or did not indicate the country of doctoral degree conferred are not included in this column.

⁴⁵ Approximately one-third (32.9 percent) of professors at Korean four-year universities earned their doctorates from overseas institutions (KEDI, 2013). Taking SNU as an example, on average, 65.5 percent or 1,245 of the 2,178 professors in 2013, received their doctorates from overseas institutions, with the absolute majority of them (959 or 77.0 percent) having obtained their doctorates from the US. Furthermore, excluding professors of medical schools who have traditionally been trained at their alma mater in Korea, the percentage of professors having foreign doctorates would be much higher. In particular, the dominance of the US doctoral recipients becomes even more apparent when taking a closer look at the percentage of professors having US doctorates at individual schools and colleges at SNU: business school (89 percent), college of social science (79 percent), college of natural science (78 percent), college of engineering (77 percent).

support programmes have exerted great influence over policymaking at individual universities. During this process, indicators included in various university evaluations by the government and affiliated agencies heavily impacted policies for faculty promotion at individual universities.

1. Matters regulated by national laws related to faculty promotion

In the case of national and public universities, the Higher Education Act, the Public Educational Officials Act, and the Presidential Decree on Appointment of Public Educational Officials regulate matters related to faculty promotion. In the case of private universities, the Private School Act regulates basic matters related to faculty promotion, and, for some matters, relevant articles in the Public Educational Official Act apply.

With regard to policy for faculty promotion, incorporated universities, such as Seoul National University (SNU) and Korea Advanced Institute of Science and Technology (KAIST), are basically treated in the same category as private universities. Overall, the characteristics of the Korean government policy for faculty promotion lies in delegating authority and decision-making power to individual universities, so that they can set policy based on university regulations. The government regulates only the types and qualifications of faculty members, the prohibition of inbreeding, and basic procedures to protect faculty rights. For matters delegated by law, national universities have similar regulations, in general, while private universities have different regulations from each other reflecting their institutional contexts.

A. Types of a faculty members (Article 14 of the Higher Education Act):

Article 14 of the Higher Education Act (Classification of faculty)
Faculty members in HEIs shall be classified as professor, associate professor, assistant professor and instructor.

Article 14-2 of the Higher Education Act (Instructor)⁴⁶

⁴⁶ This regulation is to restrict “inbreeding” practices which have been widely practiced in prestigious research-oriented universities (e.g., SKY universities); Graduates from the same university department should be no more than 2/3 of the total faculty members in any specific department.

- i. An instructor shall be appointed on a contract basis, as stipulated in university regulations or the articles of school foundations, and the term of appointment shall exceed one year.
- ii. An instructor shall not be deemed as a (regular) professor when the Public Educational Officials Act, the Private School Act and the Pension for Private School Teachers and Staff Act are applied.

Article 17 of the Higher Education Act (adjunct professor, etc.): A higher education institution may have an adjunct professor and an honorary professor in addition to a (regular) faculty member referred in Article 14-2.

B. Qualifications of a faculty member (Article 2 of the Regulations on the Qualifications of Faculty in Higher Education)

Although the minimum legal qualification requirement for a faculty member (full professor, associate professor, assistant professor, lecturer, and teaching assistant) is to hold a bachelor's degree, most four-year universities in Korea usually require a doctoral degree.

C. Appointment of a new faculty member (Article 11-2 of the Public Educational Officials Act; and Article 4-3 of the Presidential Decree on the Appointment of Public Educational Officials)

Procedure for new appointment: (a) evaluation for a basic qualifications (b) evaluation for an applicant's capability as a professorial candidate (e.g. publication records) in his/her major field; and (c) interview.

- The president of a higher education institution designates a panel of judges among relevant experts; at least one third of the judges should come from universities other than the institution concerned.
- In the case of a new recruitment, a job opening announcement should be made in a newspaper and other relevant venues at least one month prior to the application deadline.
- On an applicant's demand, criteria and results of an evaluation for the applicant should be disclosed after the recruitment process is completed.

Procedures for a fixed-term appointment at an HEI on a contractual basis and reappointment follow Article 11-3 of the Public Educational Officials Act. For faculty members at a private HEI, Article 2 of 53 of the Private School Act shall apply.

- Faculty members of each HEI may be appointed on a fixed-term contractual basis specifying a service period and other conditions of employment.
- The appointment authority shall notify, in writing, the relevant faculty member of the fact that his/her employment period is to expire and that s/he may apply for a review for “reappointment (Contract renewal)” by no later than four months before the expiration date of such an appointment.
- The appointment authority shall make a decision on whether or not the relevant professor is to be reappointed through an official evaluation process by the university personnel committee, and notify the results to the relevant professor by no later than two months before the expiration date of the appointment. In case the authority decides not to reappoint the relevant professor, such notification shall clearly indicate the reasons for refusal of reappointment.
- An evaluation of reappointment for the relevant professor by the university personnel committee shall be conducted based on the objective grounds as provided for in the school regulations, such as the evaluation of the applicant’s performance concerning the education of students, academic research, and student advising, etc. In addition, in the review process, a chance of expressing an applicant’s opinions, either in the presence of the committee or in writing, shall be given during a prescribed period of more than fifteen days.
- In case an applicant whose reappointment has been refused intends to file an objection with regard to the disposition of the appointment refusal, s/he may file, within thirty days from the date of attaining knowledge of such disposition, a petition review against the disposition into the (National) Appeal Commission for Teachers (referred to in Article 7 of the Special Act on the Improvement of Teacher’s Status).

Procedures for tenure review (The Article 5-4 of the Presidential Decree on the Appointment of Public Educational Officials)

- Prior to the approval of a University Personnel Committee, each HEI shall establish a Tenure Review Committee.
- The committee evaluates the applicant’s research performance based on the university regulations.

- The president of each HEI shall decide the details regarding the composition and operation of the committee, and the total number of tenured faculty members at the institution concerned.

D. Guarantee of Teachers' status (including HE teaching personnel) and appeal process (Article 6-10 of the Special Act on the Improvement of Teachers' Status)

Guarantee of Teachers' Status (Article 6 of the Special Act on the Improvement of Teachers' Status)

- No teacher shall be suspended, demoted or dismissed from office against his/her will without any convictions, disciplinary sanctions or other legal grounds.
- No teacher shall receive any disciplinary sanctions such as disadvantages on his/her status or any discrimination of his/her working conditions without justifiable reasons due to the acts of reporting or lodging of information to relevant administrative agencies, criminal investigation agencies on corruption in relation to the operation of the school and the corresponding irrational behaviors.

E. Personnel Committee for Faculty members (Article 53-3 of the Private School Act)

- In order to review important personnel matters, each HEI shall establish a Personnel Committee in the institution concerned.
- The organization, function and operation of the committee shall be determined by the articles of school foundation.

Establishment and Operation of the Appeal Commission for Teachers (Article 7~10 of the Special Act on the Improvement of Teachers' Status)

- In order to examine any appeals from teachers (including HE teaching personnel) for the disciplinary sanctions and other administrative dispositions against their will, (including any dispositions to reject the reappointment of a tenure-track faculty member employed on a contract basis specifying a fixed term stipulated in Article 11-3 (4) of the Public Educational Officials Act and Article 53-2 (6) of the Private School Act), the Appeal Commission for Teachers shall be established in the Ministry of Education.

- If a teacher is dissatisfied with a disciplinary sanction or other unfavorable dispositions against his/her will, s/he may request a petition review by the Appeal Commission for Teachers to examine his/her appeal within thirty days after s/he is informed of such sanctions or dispositions.
- If any administrative dispositions resulting in removal, release or dismissal from office are taken against a teacher's will, a successor shall not be appointed until the Appeal Commission for Teachers makes a final decision on the teacher's appeal.
- The Appeal Commission for Teachers shall make a decision on the appeal within sixty days after receiving it. However, if the commission finds it necessary through its official decision, the said examination period may be extended by a maximum of thirty days.
- Any relevant parties to an appeal procedure, including the teacher, a school foundation (School Juristic Person), or a CEO of a private school, may file a lawsuit, respectively, against the decision made by the Appeal Commission for Teachers, as prescribed in the Administrative Litigation Act, within ninety days after a notice of decision is served on him/her.

2) Evaluation criteria for government funding programmes

Evaluation criteria used for university evaluations by the government significantly influence faculty promotion policies at individual HEIs. Such evaluation criteria are often connected to government funding programmes such as the Brain Korea 21. These evaluation indicators used for government funding programmes are considered as the most effective method to deliver the government's requests to individual universities. Unlike laws, these indicators can relatively easily reflect a changing environment, for example, from social change or a change of political regimes. Particularly due to the decline of population at school age, most universities are experiencing serious financial difficulty. Under these circumstances, government funding is one of the most important ways for universities to secure financing, while further strengthening influence from the government.

Examples of evaluation indicators related to faculty promotion give greater weight to papers published in international journals

(e.g. Science Citation Index (SCI) journals) compared to those in Korean journals, requiring an increase in the proportion of courses taught in English, giving greater weight to the publication record of journal papers rather than books, evaluating research performance based almost entirely on the number of papers published in journals, and emphasizing industry and university cooperation. The use of these evaluation indicators suggests policy directions driven by the government; they can encourage individual universities in desperate need of governmental financial support to change university policies, such as evaluation criteria on research performance of professors. This change, in turn, influences individual professors. As will be explained in the following sections, many research universities in Korea increasingly require newly hired professors to teach courses in English and ask them to publish in international journals for promotion. Further details will be discussed in Section 3.

STRUCTURE, CRITERIA, AND IMPLEMENTATION OF ACADEMIC PROMOTION: CASE STUDIES OF THREE UNIVERSITIES

1. Korea University (KU)

1) Overview

A. Composition of faculty members

Table 4: Total number and composition of faculty members at KU (2013)

Gender		Employment Status		Nationality		Total
Male	Female	Full-time	Part-time	Korean	Foreigner	
3,087	987	1,460	2,614	3,854	220	4,074
75.8%	24.2%	35.8%	64.2%	94.6%	5.4%	100%

Table 5: Composition of full-time faculty members at KU (2013)

Gender		Nationality		Country of doctoral degrees conferred		Total
Male	Female	Korean	Foreigner	Domestic	Overseas	
1,262	198	1,322	138	647	813	1,460
86.4%	13.6%	90.5%	9.5%	44.3%	55.7%	100%

*The US 602(41.2%), Germany 55(3.8%), Japan 42(2.9%), the UK 41(2.8%), France 19(1.3%)

B. Types of a faculty members: tenure-track full-time professors; non-tenure-track full-time professors; part-time faculty members

C. Types of appointment: Initial Appointment – Promotion – Reappointment – Tenure Conferral

- Initial Appointment
- Promotion: Minimum years for promotion (promotion from assistant professor to associate professor: five years; associate professor to full professor: five years) A faculty member can be employed at the same rank for a maximum of eight years. After eight years with no promotion, the faculty member has to be automatically dismissed; this does not apply to tenured faculty members.
- Reappointment: When the reappointment requirements are fulfilled, a faculty member may apply for reappointment evaluation after three years or five years depending upon his/her contractual arrangement. It is one of the most critical personnel decisions, as faculty members failing to pass a reappointment review shall not have their contract renewed.
- Tenure Conferral: A faculty member holding the rank of a professor or under consideration for promotion to the rank of a professor can apply for a tenure conferral review; at least five years must be passed after being initially appointed on the application for the review.
- Evaluation for pay raise to next salary scale: every year for assistant and associate professors; every two years for full professors.

2) Procedures and criterion for faculty performance evaluation

A. Time of evaluation:

Promotion, Pay Raise, Reappointment, and Tenure Conferral

B. Criteria for evaluation:

Minimum one hundred twenty points per year; a faculty member should earn more than forty points from teaching; more than thirty points from research; and up to twenty points from service and other contributions.

Table 6: Research area points by academic journals and the fields of study

Criteria		Academic Fields			
		Social studies A	Social studies B	Social studies C	
Academic Journals	International Journal Levels A~D	H1	300	300	300
		H2	240	240	240
		H3	180	180	180
		M1	120	120	120
	M2	100	100	100	
	M3	60	60	60	
	M4	40	40	40	
	Domestic Journal A	Level		40	40

*depending on department bylaws

- It is not difficult to fulfill the requirements for the teaching and service areas; therefore, research achievements are the key element for faculty performance evaluation.
- Exceptional weight is added to articles published in internationally recognized journals, as shown in Table 6.

Note: International journals are rated based on the classifications of professional scholastic journal database (DB) as follows:

- H1 (High 1): First class journals in each area (SCI/SSCI⁴⁷ journals with the highest impact factor in each area) or first class impact factor journals (within one half percent SCI, within one percent SSCI/A&HCI⁴⁸)
- H2 (High 2): Second class journals in each area (within ten percent SCI, within twenty percent SSCI in each area) or second class impact factor journals (within two percent SCI, within five percent SSCI/ A&HCI)
- H3 (High 3): Third class journals in each area (within twenty percent SCI, within fifty percent SSCI, or A&HCI journals with impact factors) or third class impact factor journals (within seven percent SCI, within fifteen percent SSCI)

⁴⁷ Social Sciences Citation Index

⁴⁸ Arts & Humanities Citation Index

Academic Fields

Humanities	Fine Arts	Science A-B-C	Medicine
300	300	400	400
240	240	240	240
180	180	120	120
120	120	80	80
100	100	60	60
60	60	40	40
40	40	40*	
40	40	40*	40

- M1 (Middle 1): international journal level A not included in H1 through H3
- M2 (Middle 2): international journal level B
- M3 (Middle 3): international journal level C
- M4 (Middle 4): international journal level D (restricted to Social Studies Divisions A, B and C, Humanities, and Fine Arts)
- Minimum points required for promotion, reappointment, and conferral of tenure vary depending on relevant faculty members' academic field
 - Points required for promotion to full professor (**1 Korea Citation Index single-author paper = 40 points)
 - Department of Education: 320 points (8 Korea Citation Index single-author papers)
 - Department of Business Administration: 200 points + one or two articles published in renowned international journals depending upon department bylaws
 - Department of Physics: 640 points obtained from articles published in renowned international journals

C. Other considerations

- It is mandatory for faculty members appointed since the academic year 2003 to teach courses in English; if they fail to fulfill such a requirement, they shall not have their contract renewed.
- In order to encourage faculty members to improve their research performance, monetary incentives and special promotion arrangements are provided.
- The candidate for tenure conferral must submit two letters of recommendation with regard to their excellence in research capability. The two letters of recommendation must be prepared and submitted by authoritative scholars in the applicant's major field affiliated with external institutions in Korea as well as abroad. The head of the department that the candidate is affiliated with reports the list and profile of four potential providers (two are designated by the candidate) to the dean of the relevant college. Finally, the dean selects two scholars from the potential providers of a letter of recommendation.

3) Procedures and participants

A. Procedures:

- i. Submission of relevant materials proving the candidate's performance
- ii. Evaluation by the Departmental Faculty Member Performance Evaluation Committee
- iii. Evaluation by the College Faculty Member Performance Evaluation Committee
- iv. Evaluation by the Faculty Personnel Matters Committee
- v. Approval by the president of the university

With regard to tenure, relevant faculty members go through an evaluation by the Tenure Conferral Evaluation Committee, along with a separate evaluation by the Faculty Personnel Matters Committee.

B. Composition of related committees and their members

- Departmental Faculty Member Performance Evaluation Committee
 - The Departmental Faculty Member Performance Evaluation Committee shall consist of three to five faculty members from the department. Members of the committee, except for the ex-officio member, are appointed by the head of the department with approval from the dean of the college and the President of Korea University.
- College Faculty Member Performance Evaluation Committee
 - A College Faculty Member Performance Evaluation Committee shall consist of five to seven committee members from the college. Members of the committee, except for the ex-officio members, are appointed by the dean of the college with approval of the President of Korea University.
- Tenure Conferral Evaluation Committee
 - The Tenure Conferral Evaluation Committee shall consist of no more than thirteen members, including the Vice-President for Academic Affairs, the Dean for Academic Affairs, the Dean for Planning and Budget, and the Dean for Research Affairs.
 - Other members are appointed by the President of Korea University from among tenured professors.
 - The Vice-President for Academic Affairs serves as the chair of the committee and the Dean for Academic Affairs serves as the deputy-chair.
- Faculty Personnel Matters Committee
 - The Faculty Personnel Matters Committee shall consist of eight ex-officio members (the Vice-President for Academic Affairs, the Vice-President for Administration and External Affairs, the Vice-President for the Sejong Campus, the Vice-President for Medical Affairs, the Dean of the Graduate School, the Dean for Planning and Budget, the Dean for Academic Affairs and the Dean for General Affairs) and four professors appointed by the President of Korea University.

- The Vice-President for Academic Affairs shall serve as the chair of the committee.

4) Procedures for appeal

- Upon receiving the result from the Faculty Personnel Matters Committee, in the event of an unfavorable decision the candidate may file an appeal to the Dean for Academic Affairs within seven days of receiving the result.
- The Dean for Academic Affairs shall then request an evaluation of the appeal by appointing three faculty members who did not participate in the Faculty Personnel Matters Committee (which may include external members), and submit their results to the Faculty Personnel Matters Committee.
- The Faculty Personnel Matters Committee may give the candidate an opportunity to explain certain matters either orally or in writing.
- The Faculty Personnel Matters Committee shall notify the candidate of the result of the appeal.

The candidate may file an appeal to the Appeal Commission for Teachers if s/he does not agree with the results of the university appeal procedure.

2. Seoul National University (SNU)

1) Overview

A. Composition of faculty members

Table 7: Total number and composition of faculty members at SNU (2013)

Gender		Employment Status		Nationality		Total
Male	Female	Full-time	Part-time	Korean	Foreigner	
3,282	1,316	2,178	2,420	4,495	103	4,598
71%	29%	47%	53%	98%	2%	100%

Table 8: Composition of full-time faculty members at SNU (2013)

Gender		Nationality		Country of doctoral degrees obtained		Total
Male	Female	Korean	Foreigner	Domestic	Overseas*	
1,864	314	2,075	103	657	1,245	2,178
86%	14%	95%	5%	34.5%	65.5%	100%

*The US 959 (50.5%), the UK 50 (2.6%), Japan 43 (2.3%), France 36 (1.9%), Others 94 (4.9%)

B. Types of a faculty members: tenure-track full-time professors; non-tenure-track full-time professors; part-time faculty members

C. Types of appointment:

New Appointment – Promotion – Reappointment – Tenure Conferral

- **New Appointment:** Recruitment of a new faculty member is typically based on open competition. A typical process of evaluation of an applicant consists of 1) evaluation for basic qualifications; 2) evaluation for an applicant's capacity in his/her major areas; and 3) an interview by the president. However, special recruitments are also allowed in the case of applicants showing exceptionally outstanding educational and/or research records in their academic fields.
- **Promotion:** Minimum number of years for promotion: from assistant professor to associate professor (four years); from associate professor to full professor (five years). If one fails to pass the promotion review, s/he cannot apply for promotion again within the next two years.
- **Contract Renewal ("Reappointment"):** At the end of the contract term (assistant professor - less than four years; associate professor - less than six years; professor - less than six years, when a professor is appointed as a full professor from the beginning). If an applicant fails to pass the evaluation, s/he shall not have their contract renewed.
- **Tenure Conferral:** Associate professors or professors who have served in office for more than three years since they were newly appointed can apply for a tenure conferral review. A faculty member who was denied a conferral of tenure needs to wait at least two years

for the next review. The proportion of tenured faculty members is limited to less than ninety percent of total full-time faculty members.

2) Procedures and criteria for faculty performance evaluation

A. Time of evaluation:

At the time application is made for promotion, contract renewal, tenure conferral etc.

B. Use of evaluation results:

Promotion, tenure conferral, research grant based on performance, appointment of research professors.

C. Criteria for evaluation:

1) education (40 points); 2) research (40 points); 3) social service (10 points); 4) dean's assessment (10 points); and 5) special consideration (5 points).

- It is not difficult to fulfill the requirements for the teaching and service areas; therefore, research achievements are the key element for faculty performance evaluation.
- For promotion, a faculty member should receive more than eighty points out of one hundred points in total; for contract renewal/tenure conferral, a faculty member should receive more than seventy points out of one hundred and five points of faculty evaluation, and meet additional publication requirements evaluated by external members or institutions.
- Evaluation of the quality of publications: Each publication is evaluated by five reviewers, each of whom evaluates by giving up to five points. A publication should receive at least twelve points after deleting the highest and the lowest scores. For promotion, each publication is evaluated by three reviewers, each of whom evaluates by giving up to five points. A publication should receive at least twelve points.
- Minimum points required for promotions, contract renewals, and tenure conferrals vary depending on relevant faculty members' academic field.

- Department of Education: For promotion to full professor, four or more academic articles in renowned international journals (e.g. SSCI) during his/her employment term at the current position.
- Department of Business Administration: For promotion to a full professor, three or more academic articles published in renowned international journals (e.g. SSCI) during his/her employment term at the current position, or academic articles published in renowned international journals since s/he was first appointed.
- Department of Material Engineering: For promotion to a full professor, more than thirty academic articles published in SCI-level journals are required while serving as an associate professor, including fifteen publications at SNU. In addition, three representative research articles designated by a candidate: one should be a quantitative evaluation such as assessing SCI impact factors and citation counts of the papers by other researchers, and two qualitative reviews aiming to evaluate the creativity and excellence of the representative articles by domestic/international experts. Domestic/international expert evaluations can be done in the form of a letter of recommendation.
- In order to promote research activities, a faculty member showing outstanding performance is subject to a special promotion based on the evaluation by the University Personnel Management Committee.

3) Procedures and participants

A. Procedures

- Procedures for promotion and contract renewal (e.g. reappointment):
 - i. Submission of relevant documents/publication records
 - ii. Review by the College Personnel Management Committee (e.g. the committee can delegate a part of its evaluation to related departments, if necessary)

- iii. Review by the University Personnel Management Committee
- iv. Approval of the President of SNU

When it comes to the tenure conferral, a candidate professor should go through an evaluation by the Tenure Conferral Evaluation Committee, along with a separate evaluation by the University Personnel Management Committee.

B. Composition of related committees

- Faculty Member Performance Management Committee (University level): eight members including the ex-officio members (the Dean for Research Affairs serving as the Chair, the Dean for Academic Affairs, the Dean for Student Affairs, the Dean for Planning, the Vice-Dean for Academic Affairs, the Vice-Dean for Research) and other members appointed by the President of SNU from among associate professors and full professors.
- Faculty Member Performance Management and Evaluation Committee (College level): less than twenty members including the dean (chair) and deputy dean of the college concerned; Members who are not ex-officio members are appointed by the dean from among associate professors and full professors.
- Sub-committees by fields of study: the dean of the college concerned shall appoint about ten members from among the full-time professors in relevant academic fields.
- University Tenure Review Committee: less than seventeen internal/external members appointed by the President of SNU (including one or two faculty members from individual colleges at SNU and two external members from outside SNU).
- University Personnel Management Committee: the president appoints between twenty-five and thirty-five members from among full professors, including the vice-president; female members should be more than one-fifth of the total committee.

4) Procedures for appeal

A. Procedures for Faculty Members' Contract Renewal (e.g. reappointment)

- The dean shall notify, in writing, a candidate faculty member six months prior to his/her contract expiration date, that his/her contract renewal will be expired and s/he can apply for contract renewal review.
- In case the dean decides not to renew the candidate's contract (rejection of reappointment), the dean should give the applicant an opportunity to express his/her opinion and defense on the issue in contention.
- The University Personnel Management Committee must allow the faculty member whose contract renewal was denied to submit a detailed statement and to attend the committee meeting in order to explain his/her opinion and defense on the issue in contention.
- In the case of rejection of contract renewal through deliberations of the University Personnel Management, the president must notify the applicant of a final decision, with specific reasons for non-renewal, two months before the expiration of his/her contract.
- The faculty member whose contract renewal was denied can apply for an appeal process by the Appeal Commission for Teachers within thirty days after s/he is informed of such decision.

B. University Appeal Committee for Faculty Personnel Decisions

- A University Appeal Committee shall be established to advise the President of SNU when a more thorough investigation on an appeal raised by a tenure-track faculty member is deemed necessary and when there seem to be good reasons to have doubts about the fairness of the review process.
- The committee consists of seven to nine members including the vice-president (Chair), members appointed by the President of SNU from among associate and full professors, three of whom should be recommended by the University Council.

3. Korea Advanced Institute of Science and Technology (KAIST)

1) Overview

A. Composition of faculty members

Table 9: Total number and composition of faculty members at KAIST (2013)

Gender		Employment Status		Nationality		Total
Male	Female	Full-time	Part-time	Korean	Foreigner	
1,001	118	604	515	1,075	44	1,119
89%	11%	54%	46%	96%	4%	100%

Table 10: Composition of full-time faculty members at KAIST (2013)

Gender		Nationality		Country of doctoral degrees obtained		Total
Male	Female	Korean	Foreigner	Domestic	Overseas*	
560	44	560	44	-	-	604
93%	7%	93%	7%	-	-	100%

B. Types of faculty members: Tenure-track full-time professors; non-tenure-track full-time professors; part-time faculty members

C. Types of Appointment: Initial Appointment, Contract Renewal, Promotion, Tenure Conferral

- Initial Appointment
- Promotion: Minimum years for promotion (from assistant to associate professor: two years; associate professor to full professor: four years). Assistant professors can be employed at the same rank for a maximum of eight years (associate professors - nine years). After that period of time, if there has been no promotion, the faculty member will be dismissed automatically. However, a special promotion is possible through a decision by the Board of Directors, for faculty members showing exceptional research and educational performance.

- **Contract Renewal:** Appointment contract shall be renewed every three years; the total period of the contract before tenure conferral, including the period of initial contract, shall be no more than eight years. The faculty member shall be automatically dismissed at the end of the contract term if s/he fails to pass the contract renewal evaluation.
- **Tenure Conferral:** For faculty members appointed since 2007, any faculty members, regardless of their rank, may apply for a tenure review if they are ready. Eligibility for tenure conferral shall be evaluated only once in the eight years from the initial appointment. If they fail to pass the tenure review process, those faculty members will be automatically dismissed at the end of their contract term. No additional chance for a tenure review shall be provided.

2) Procedures and criteria for faculty performance evaluation

A. Time of evaluation:

In the case of promotion, contract renewal, tenure conferral, pay-raise, granting of incentives etc.

B. Criteria for evaluation:

1) education (30 percent); 2) research (40 percent); 3) social service (20 percent); 4) In the case of an evaluation for promotion or tenure conferral, an additional internal/external evaluation shall be conducted (10 percent)

C. Other considerations:

- The weight on each evaluation criterion may vary depending on the characteristics of the department, which is determined by the department/major and the Faculty Personnel Committee.
- It is not difficult to fulfill the requirements for the teaching and service areas; therefore, research achievements are the key element for faculty performance evaluation.
- The evaluation of research achievements is based on the publication records submitted by the candidate, following the procedures described below: 1) in the case of promotion to a

full professorship the evaluation will focus on the quality of four representative academic articles designated by the candidate in terms of a) the reputation and impact factor of the journals published, and b) academic importance and the citation counts of the papers designated by the applicant; 2) in the case of promotion to an associate professorship – the evaluation the academic potential of the applicant is based on the quality of two representative articles designated by the candidate.

- In the process of promotion and tenure review, evaluation reports prepared by internal/external experts, (12 experts for promotion to a full professor; eight experts for tenure conferral), designated by a department chair should be solicited and utilized in order to draw a final decision. The evaluation report shall assess competencies of the applicant as a professor (e.g. quality of papers published).

3) Procedures and participants

A. Procedures:

1. Submission of relevant material proving the candidate's performance;
2. Evaluation by the department/division Faculty Personnel Deliberation Committee and recommendation by the head;
3. Evaluation by the College Faculty Personnel Deliberation Committee and recommendation by the dean;
4. Evaluation by the (university) Faculty Personnel Committee; and
5. Approval by the President of KAIST.

B. Composition of related committees

- The Department/Division Faculty Personnel Deliberation Committee: less than seven members including the head of the department (Chair); the rest of committee members are appointed by the chair from among the faculty members in the department concerned; at least one member should come from another department/division.
- The College Faculty Personnel Deliberation Committee: At most ten members including the dean of the college concerned (Chair); the rest of committee members are appointed by the

chair from among the faculty members in the college concerned; members from outside the college concerned can also be appointed if needed.

- The Faculty Personnel Committee: in principle, less than fifteen members including the Vice-President for Academic Affairs (Chair) and the Dean for Academic Affairs serving as the deputy chair; the committee members consist of ex-officio members (the chair and deputy chair, Vice-President for Research Affairs, the deans of individual colleges at KAIST) and members appointed by the resident with the recommendation by the Chair.

4) Procedures for appeal

A. Procedures for contract renewal (e.g. reappointment) and Appeals

- Head of the department should inform candidate professors of their eligibility for applying for a contract renewal evaluation six months prior to the expiration of their current contracts.
- In case the (University) Faculty Personnel Committee finds the applicant deficient as a faculty member, the committee should give an opportunity for the applicant, by designating the period more than fifteen days, to submit a written explanation as well as to express his/her opinions during the deliberation processes, orally or in writing, to the committee.
- In case of an unfavorable decision, the president should notify the final decision with due reasons to the applicant two months prior to the expiration of his/her contract.
- The faculty member shall be automatically dismissed with the expiration of the term of appointment when failing to pass the contract renewal evaluation. However, with a presidential approval, a one-time extension of the employment period can be allowed over a maximum period of one year after the expiration date of the contract, considering the time needed for finding new jobs at other institutions. After the extension, the faculty members shall be automatically dismissed.
- A faculty member who does not agree with the final decision made by the university regarding his/her contract renewal may submit a petition to the Appeal Commission for Teachers within thirty days after s/he is informed of such decision.

B. Appeals related to promotion

A faculty member may file an appeal to the Chair of the (university) Faculty Personnel Committee within twenty-one days after such a decision is made. In the deliberation process, the faculty member filing an appeal may explain his/her opinions either in writing or by attending the Faculty Personnel Committee.

CONCLUDING REMARKS: CURRENT ISSUES AND CHALLENGES

AS THE paper has discussed, academic promotion policies in Korean higher education have gradually changed over the past couple of decades, moving from establishing a more transparent and fairer system to a more productive academic promotion system, in response to broader social democratization and ever-changing external environments. As democratization in Korean society has progressed, protection mechanisms for higher education teaching personnel's rights have improved. Since the mid-1990s and, particularly, the early 2000s, the advent of global university rankings, academic capitalism, the increasing role of English and the internationalization of higher education have drastically impacted traditional roles and tasks of higher education teaching personnel. To cope with these external changes and subsequent social demands, the government and higher education institutions in Korea came up with multiple measures to increase faculty productivity. For example, the government suggested the following as evaluation criteria for university funding programmes to induce a change in universities' and professors' behaviors: increase the number of publications by faculty members, emphasis on applied research that facilitates industry and university cooperation rather than pure research, add weight to papers published in international journals, and increase the proportion of courses taught in English. Influenced by these governmental initiatives, some universities introduced policies to strengthen their publication record of papers, increase the weight of papers published in international journals, provide financial incentives for publishing papers, and mandate that new faculty members teach courses in English. During the former Lee, Myung-bak regime, when this kind of policy direction reached its peak, the government

introduced a performance-based annual salary system⁴⁹ into national universities which have rarely responded to policy changes due to their stable status.

These policies and strategies by the government and individual universities are appropriate, considering the problems of many faculty members in Korea who were unable to respond actively to the changing role of faculty. However, such policies and strategies have also resulted in many significant problems. For example, sacrificing the quality of papers over quantity, and emphasizing the number of published papers, has led faculty members to avoid mid/long-term research projects which may be important for academic development, but could result in failure. In addition, universities preferring publication in international journals has led to the negligence of domestic scholarship. These various issues and problems in recent years will be discussed below in further details as concluding remarks.

⁴⁹ The Performance-based Annual Salary System evaluates and grades faculty performance, mainly their research productivity. Based on such results, a university determines differential annual salary for faculty members. The previous Annual Salary System for faculty members secured additional financial resources and distributed them on a differential basis by the level of faculty performance in addition to basic salary which was based on the length of employment. On the other hand, the newly introduced Performance-based Annual Salary System determines annual salary based on faculty performance and this total amount of salary functions as a basis of salary estimation for the next year. Therefore, the effect of this new system is cumulative and it has stronger impact on faculty members.

1. Performance Evaluation and Quantification of Scholarship

The most distinctive change to government policy related to university financial support since the mid-1990s has been the introduction of a performance-based funding programme for universities. In other words, the government evaluates university performance outcomes based on evaluation criteria and provides financial support appropriate to the evaluation results. In this process, university evaluation has exerted a great influence on university policy for faculty promotion and evaluation through evaluation indicators.⁵⁰ For example, the BK 21 programme (and 2013's subsequent BK 21 PLUS programme), the most representative financial support programme for universities in Korea, considers the number of published papers by faculty members as the most important evaluation measure for its purpose of building research universities in Korea. The BK 21 programme also emphasizes the outcomes of internationalization including the proportion of courses taught in English and additional weight given to papers published in international journals, such as SCI, to raise the global university rankings of Korean universities to the top tier. Overall, the government has focused on quantity at the expense of quality.

This emphasis on the quantitative aspect of outcomes has had a direct impact on the evaluation criteria for faculty achievement. Many professors in Korea believe that such evaluation criteria in favor of quantitative outcomes have caused various side effects that eventually hinder academic development. Universities struggling with financial difficulties need to obtain as much government financial support as possible, so they cannot help but set faculty promotion criteria which make faculty members conform to government evaluation criteria.

Consequently, and ironically, faculty members consider publishing a great number of papers as the top priority, and make publication itself as a goal for working in academia, regardless of their contribution to the mission of scholarship to produce new knowledge and critical

⁵⁰ In addition to evaluations related to the government funding programmes, other university evaluations also have a great influence on overall policy decisions regarding, for example, faculty promotion criteria. These other evaluations include the Ranking by the Shanghai Jiao Tong University, the World University Rankings (THEWS) by the Times Higher Education, and various university evaluations by Korean media companies.

perspectives on society. When these side effects go extreme, academic crimes, such as plagiarism, may occur. In order to supplement these excessively quantified evaluation criteria, the universities in this report have taken the following measures in their faculty promotion process: (1) requiring a faculty member to submit recommendation letters from renowned scholars from Korea and overseas, and (2) having roughly three self-selected papers go under review by external experts. This kind of attempt is not considered to have made a big impact yet in Korea where the academic experts' pool is small and interpersonal close relationships are important. Nevertheless, depending on its further development and application, this meaningful attempt has a possibility to develop into an important mechanism to supplement the current quantity-oriented evaluation criteria for academic papers.

2. Academic Capitalism and Commercialization of Scholarship

Another issue on faculty promotion related to the previous point, but in need of a separate discussion, is the widespread commercialization of scholarship in Korean higher education. Academic capitalism is usually defined as a university or faculty member's involvement in market-like behaviors, which emphasize marketization and commercialization and explains the greater pressures placed on the university's role in knowledge production and the economy (Slaughter and Rhoades, 2004). Including Korea University, a case university in this report, many universities in Korea include the publication record of papers as the most important criteria for faculty promotion and provide financial incentives for published papers, particularly in international journals, such as SCI. In extreme cases, some universities offer 0.1 billion won, (equivalent of approximately USD 95,000), for a paper published in renowned international journals such as *Science* or *Cell*. Under these circumstances, Korean faculty members have come to have more interest in research which guarantees visible outcomes in the short term rather than research with the potential to contribute to the development of academia and society in the medium or long term. Although there are a limited number of such extreme cases, some faculty members feel tempted to divide results from the same research into multiple papers and publish them, or conduct unethical behavior by self-plagiarism (Byun & Kim, 2013).

We can easily imagine, without further explanation, how much such a commercialized organizational culture in higher education and unethical behavior may have a negative impact on the development of true scholarship, which is the mission of universities. Among the universities in this report, neither SNU nor KAIST has implemented this kind of system on its professors. With globalized university competition, how this will eventually affect the development of true scholarship and other important missions of universities is one of the most interesting research topics for future policymakers and the academic community alike.

3. Internationalization and the Increasing Role of English

In the 2000s, with the internationalization of higher education in Korea, the role of English in teaching and research gained more emphasis. This has led to a change in the expected role of faculty members. In most of the top research universities in Korea, including the universities in this report, their publication record in quality international journals has become a requisite for faculty members throughout their career development stages, from hire, promotion, reappointment to tenure. We have come to the point where without papers written in English and published in international journals, one cannot become a professor at a top university in Korea. In other words, new professors need to teach some part of or all their courses in English regardless of the characteristics of courses or English language abilities. Unless faculty can publish research and teach courses in English, they cannot become professors at well-known universities in Korea.

In the era of globalization, no one denies the importance of English. However, the current situation in Korea where the level of English functions as “the only standard” to define their qualifications to be a good researcher or professor is problematic. In addition, various side effects have occurred. Overemphasis on publication in international journals for faculty hiring and promotion has led to neglect of domestic scholarship in a relative sense. Compulsory English-medium instruction without a proper evaluation mechanism for its quality has led to a decrease in student learning and an increase in faculty teaching loads. At this point in Korean higher education, we need to contemplate what constitutes “a good professor”, whether their competencies are for teaching and research or English proficiency. Second, we need to clarify

what competences we will require of faculty members considering the characteristics of individual universities and departments until we have a large enough pool of faculty candidates proficient at English and also competent at teaching and research. Third, we need to consider both aspects “English proficiency” and “qualifications as a good faculty/researcher” in balance, and thereby minimize problems raised from allowing excessive benefits to those good at English.

In addition, albeit a related matter, international faculty hiring has increased since 2000 as the need for English-medium instruction and emphasis on publications in international journals has increased. Particularly due to the expanded role of English, most Korean universities favor international faculty members from English-speaking countries. However, relatively few faculty candidates from English-speaking countries wish to have a job in the Asian region, including in Korea. If they do, their qualifications are sometimes insufficient. Moreover, with the growing population of international faculty in Korea, we are facing a new problem in that the international faculty members, unfamiliar with an organization or the departmental culture in Korea, cannot participate in important educational activities or departmental duties, such as student advising and volunteering. In addition, due to their foreign nationality, they have limitations in participating in research projects from the government and funding agencies (Ko, Park & Kim, 2013). These problems that occur with the increase in international faculty members will have important implications for setting faculty promotion criteria at universities in future.

4. Part-time Faculty and Full-time, Non-tenure Track Faculty members

Lastly, one of the important issues regarding faculty promotion and appointment concerns part-time faculty members. Currently, part-time faculty members in Korean higher education are involved in teaching and research at the same level as full-time faculty members. Still, a large discrepancy between part-time and full-time faculty members exists in their legal status and treatment, which is a main cause of degrading part-time instructors’ morale and deteriorating the quality of university education (Yu & Song, 2006). However, apart from this criticism, many universities in Korea which have experienced financial difficulty caused

by declining numbers of college-age students, and other reasons, still continue to expand hiring part-time instructors rather than full-time faculty members.

According to the National Human Rights Commission of Korea (2004), part-time instructors are suffering from hardships in their lives due to their unstable job status and low pay. It states that they are day laborers without guarantee for their legal status, do not benefit from four major insurance programmes (national pension, unemployment insurance, health insurance, and occupational health and safety insurance), and get paid for their lectures on an hourly basis excluding costs for developing course materials and preparing lectures. Among a variety of reasons for this unfortunate situation, most importantly, part-time instructors have not been able to secure the proper legal status corresponding to their roles at universities since the Education Act in 1997. This Act limited the qualifications of a university faculty member to full-time instructors and those above that level.

A need to improve seriously poor conditions for part-time instructors has been raised for a long time by not only part-time instructors themselves, but also by politicians. However, this is not easy to address due to increased financial burdens it would place on private universities. Finally, in 2011, the Proposed Amendments to the Higher Education Act passed the National Assembly. It aims to grant part-time instructors faculty member status and change their title to instructors. Still, various challenges, including a lack of administrative preparation on the university's side and difficulty to increase financial resources at most Korean HEIs, have resulted in the aforementioned law being postponed twice.⁵¹ Even with the coming enforcement of this Act in 2016, it is still adrift without the means to satisfy all stakeholders such as political parties, government, universities, and a union for part-time instructors.

This situation in Korea illustrates some important caveats that deserve more attention by the government. Firstly, to overcome problems which have occurred due to the rapid expansion of the higher education system relying heavily on private institutions, Korea (the government

⁵¹ The Proposed Amendments to the Higher Education Act which passed the Congress in 2011 was planned to be implemented from January, 2013. However, its implementation was postponed by one year due to lack of preparation, and was postponed again by two years at the end of 2013. The current plan is to implement it from January, 2016.

and HEIs alike) will need to pay a considerable amount of social costs at some point in time. Secondly, the Korean case provides a lesson that shows that the introduction of an excessively ideal plan without due consideration of reality cannot result in practical effects. Therefore, in designing detailed policies related to part-time instructors, aspects such as financial difficulties and stakeholders' opinions should be given careful consideration from the first step so that feasible policy measures with administrative and financial support can be devised (Byun et al., 2010).

On the other hand, an issue regarding non-tenure track (teaching-only) faculty members has emerged in Korea. These are those whose employment is not guaranteed, unlike traditional full-time faculty members, so when their programmes are closed or the financial status at universities deteriorates they are out of a job. Different from the part-time faculty members and instructors mentioned above, this new group of faculty members are full-time, but have no job security. From the university side, their hire is helpful in expanding flexibility in managing the institutions depending on financial status. However, from the faculty members' side, this category of faculty members is unstable, and from students' side it can cause a lowering of the quality of lectures and other problems. Therefore, this group of higher education teaching personnel also needs policy attention in the future (Byun et al., 2010).

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ACADEMIC PROMOTION IN MALAYSIAN PUBLIC UNIVERSITIES:

**AMIDST CHANGING
PRIORITIES AND MULTIPLE
REWARD SYSTEMS**

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INTRODUCTION

THE MOST important incentives exercised by universities to motivate academic staff are pay, reward and promotion (Diamond, 1999; Fairweather, 2002; Young, 2006). Academic promotion remains one of the most tangible indicators of the status of an academic and is understood as a movement from one academic rank to a higher rank, or the transition from one classification level to another. Academic promotion is defined as a process of advancement in rank whereby a university rewards academics for their accomplishments, usually in the form of additional salary and increased roles and influence (Hardre and Cox, 2009). Thus, promotion for academics occurs as a result of demonstrated scholarly performance in teaching, research, publication and community/professional service at the level specified within the applicable criteria for promotion and performance assessment.

Universally, academic promotion is based upon merit. To be promoted, candidates must be able to demonstrate that they satisfy the criteria and performance assessment for promotion by providing a cumulative body of evidence that satisfies claims for satisfactory, superior or outstanding performance relevant to achieving the academic level for which promotion is sought (Parker, 2008). Sustained levels of performance against the criteria are requirements for promotion and require demonstration of their ability and achievement since the candidate's appointment to their current position or most recent promotion.

Thus, academics or faculty at the rank of professor or 'full professor' most often represent an advanced level of expertise in his or her field (Finnegan and Hyle, 2009; Stewart et al., 2009) as well as a national

or international reputation for this expertise as evidenced through scholarship (Long et al., 1993; Perna, 2002; Finnegan and Hyle, 2009). The rank of professor is often imbued with increased status, prestige, role and influence, not to mention a higher salary (Light, Marsden and Corl, 1990; Long, Allison and McGinnis, 1993; Perna, 2002). Thus, from the perspective of individual academics or faculty, promotion to professorship is a momentous point in their professional career, providing not only an increase in salary but also a guarantee of status in the academic profession.

Evidently, the appointment and promotion of excellent faculty are keys to an academic institution's overall excellence (Altbach, 2008; Taylor, 2007). As such, any serious inquiry about improving the quality of a university must begin with an examination of its faculty promotion and merit procedures. This is a key to the achievement of academic excellence since a university's quality cannot be higher than that of its faculty (Taylor, 2007). Indeed, the uniformly high performance of a university's faculty has often been attributed to its rigorous promotion and merit system (Graham and Diamond, 1997; Hanley and Forkenbrock, 2006), which plays a crucial role in the inculcation and development of talent.

'Academics' are understood as academic staff working in universities and other higher education institutions in different ranks, with different contracts and at different stages of their careers. They include not only the 'professoriate' as the traditional core of the academic profession, but other faculty groups too (Enders and Musselin, 2008). In the Malaysian context and in this report, 'academic' refers to full-time academic staff members with different academic ranks in Malaysian universities. In principle, academic promotion in universities is awarded based on a standard triad of activities: teaching, research, and to a lesser extent, service. In order to obtain any promotion, a reasonable level of competence is required in all three of these areas, with above average or excellent performance in at least one. The relative weights attached to these three areas of professional responsibility generally vary by department and/or university (Harter et al., 2011; Boyer, 1990; Gray et al., 1996). Teaching is often evaluated through student and faculty peer evaluations. Research is often judged on two dimensions – publications and citations. Publications in top quality journals (ISI) are highly prized, and in research universities they are typically the most important metric that is considered for merit and academic promotion.

This particular metric is valued because as publication rises, so does the scholarly reputation of the particular academic and their department (Altbach, 2008). Finally, service is often assessed through committee participation at the department, school and university level, as well as services to the community locally and internationally.

Malaysia's National Higher Education Research Institute (IPPTN) conducted a study on the academic promotion process at public higher education institutions in Malaysia (Noornina et al., 2010). This research provided inputs in the formulation of the *Garis Panduan Perlantikan dan Kenaikan Pangkat ke Jawatan Profesor di Institusi Pengajian Tinggi di Malaysia (Edisi ke-2)* (translation: Guideline on Appointment and Promotion to the Professor Position of Higher Education Institutions in Malaysia) by the Department of Higher Education (2012) of the then, Ministry of Higher Education. The ministry's guideline details not only the promotion process to professorship, but also includes promotion to distinguished professorship, promotion of those on secondment to agencies and industries, and those from industry who join academia. Lecturers, assistant professors and associate professors can apply for professor position. Different benchmarks are used in the promotion, thus the Department of Higher Education (2012) felt that there was a need to draw some sort of standardization in the award for professorship, both in terms of criteria and procedure.

PERSPECTIVES ON ACADEMIC PROMOTION

IN THE early 1960s, academic promotion in most universities emphasized the importance of teaching. Then, in the 1990s, when discovery, technology and innovation advancement began to be considered important for the new knowledge economy, greater focus was put on research. With external funding increasingly available, research as a model for faculty work began to spread and colonize the academic profession as a whole (Glassick, et al., 1997). This shift in focus and reward structures began with a deliberate realignment of faculty priorities and activities. Graduate students and junior academics became versed in research methodologies and academic writing, with their teaching and community service often taking a backseat to research. This ideological shift within academe continued for decades, until in the twenty-first century international ranking systems were developed and used as global quality assurance mechanisms. At that time, research capacity and performance became central to the ranking criteria that determine university status and performance (Altbach, 2007, 2008).

Additionally, prior literature has examined the role of other related factors that explain academic promotion. With greater emphasis on research, the so-called “publish or perish” rule became widespread in academe, making publications in peer-reviewed journals of paramount importance for academic promotion. A university faculty with wider academic networks has greater facility to publish his or her research (Manning, 2007, Faria and Goel, 2010). However, in order to publish an individual faculty must conduct research. Therefore, time must be allocated between research, teaching and service which will affect the ability to maintain a successful research career, and hence to achieve

the academic promotion that results from such success (Harter, Becker, Watts, 2011; Besancenot, Faria, Vranceanu, 2009).

Other factors also influence academic promotions. Van der Burg, Siegers and Winter-Ebmer (1998) identify being a full-time faculty member is important for academic promotion. Additional activities, such as consulting and administrative appointments can influence academic promotion as well (Sabatier et al., 2006). Conformity with social norms may also play a role, given that both knowing and playing according to the rules of tenure and academic promotion is essential for professional success. According to Krampen (2008), the majority of German professors know and conform to the rules of academic evaluation that are, on the one hand, quantitative in terms of the number of publications and citations, and are, on the other hand, qualitative, such as in scientific originality, engagement and commitment in teaching.

The academic environment can be crucial for academic promotion. For instance, a good department, with a healthy tradition of research and collegiality, will facilitate both research productivity and promotions, while a bad department may destroy careers (Faria, 1998). Politics may play a crucial role in the academic promotion process as well. Perlmutter (2010a; 2010b) discusses some important issues, including how the psychological and social make-up of the faculty members in an academic department influences the promotion process. The mix-and-match of different generations, with different academic ranks, of faculty in the same department creates an environment conducive to research, which may facilitate academic promotion (Carayol and Mireille, 2004). Lastly, academic mobility also impacts academic promotion as faculty with high mobility create strong peer links and show better performance indicators (i.e., higher average impact factor, a greater number of citations per document, higher rate of international collaboration) (de Filippo et al., 2009; Jacob and Meek, 2013).

In recent times, many developing countries including Malaysia have shown great interest in improving their higher education systems in order to transform them into “world class universities” (Azman, Sirat, Ahmad, 2014a, Douglass, King, Feller, 2009; Salmi, 2010; Altbach, 2007). Malaysia has been particularly proactive in this respect (Sirat, 2010; Azman, Sirat, Ahmad, 2014a; Azman, Pang, Sirat, Mohd Yunus, 2014b). As Malaysia moves fast towards becoming a high income nation, it is eager to build up with similar speed its flagship that is

to have the best institutions of higher learning. Under the National Higher Education Strategic Plan (NHESP) 2007-2020, Malaysia seeks to be an international hub for higher education by 2020 and is therefore committed to enhancing and strengthening the quality of its universities. To achieve the NHESP's aims, Malaysian universities are subject to the process of performance review and key performance indicators set by the Ministry of Education (MOE) and global quality assessments. For the majority of research universities, their performance and the relative status of their institutions have become extremely important. The government and the public both share ambitions for the Malaysian research universities to be among the top 100 world-class institutions in the near future. The government therefore invests a huge amount of money in the establishment of research universities as their flagship universities.

Improving the quality and excellence of a university requires quality faculty. Consequently, the recruitment and promotion of excellent faculty has become a key to an academic institution's excellence. Nevertheless, we argue that there is very little emphasis given to recruitment and promotion strategies at the Malaysian national level. In fact, there are very few studies conducted regarding the academic promotion system in Malaysia. So far, only one comprehensive national study on academic promotion has been carried out by the National Higher Education Research Institute (IPPTN) and that was in 2010. This has led to considerable gaps in the understanding of the system and impact of current academic promotion policies in the Malaysian university context.

THE PROMOTION SYSTEM IN MALAYSIAN PUBLIC UNIVERSITIES

THE ACADEMIC profession in Malaysia, as in other countries, is an important component in Higher Education Institutions (HEIs). A successful academic institution usually attracts highly qualified, committed and adequately rewarded academics. To achieve this, each university designs and implements a promotion process which is aimed at encouraging, developing and maintaining quality academics, as well as attracting the ‘best brains’ (Azman, Sirat and Dahlan, 2012a).

Malaysian academics employed in public universities are considered public civil servants, and therefore are bound by the rules and regulations of the Public Services Statute (UUCA, 1971, 2009). As such, the academic career structure is in line with the general structure of the Malaysian civil service. It is a permanent post which ends with retirement. There is a general convergence in the career patterns of academics in Malaysian public universities. Academics are recruited and appointed by an individual institution, but the public universities recruit and appoint staff on the same conditions and regulations. In most institutions, academics begin their career as a tutor or an assistant lecturer. In all public universities, except for Universiti Teknologi MARA (UiTM), people with a minimum qualification of a master’s degree will be hired directly as a lecturer. However, the current trend is changing to only accept those with doctoral degrees as university lecturers. Newly recruited academics, like other public service employees, are granted full tenure after a one-to-three year probationary period. Once they are granted tenure, they benefit from the common public employment statute which guarantees them continued employment, structures their career and regulates their financial compensations (Gratuity and

Employees Provident Fund). As civil servants, academics receive perks such as yearly salary increments, subsidized housing allowances and car loans. Thus, job security in the public university sector is higher than in the private sector. Academics retiring from public universities receive pensions and can be re-hired on a contractual basis until the age of 65, unlike other government officers who retire at the age of 60 (Azman et al., 2012a).

The academic rank system in Malaysia is generally composed of four career ladders: Lecturer, Senior Lecturer, Associate Professor and Professor. These academic ranks are divided into several grades – each grade being defined by a common or prescribed salary scale.⁵² The formal description of the professoriate is uniform, but in practice professors in Malaysia are further divided into three salary categories referred to as Professor (Special Grade) C, B and A. There is not only a hierarchy of incomes among the various levels but one of prestige as well with Professor Grade A at the top. The difference between academic promotion and the promotion of other civil servants is that the promotion of the former is based on scholarly achievement while the latter is decided competitively within the limits of the number of vacant positions. Normally in the latter case, promotion is based on seniority (Azman et al., 2012a; Azman et al., 2013).

Public universities in Malaysia are established and primarily funded by the national government and are therefore subject to public policy asserted through various legislations and circulars (e.g. the Public Higher Education Act 1996 - Act 555), the University and University Colleges Act, 1971 (UUCA 1971), and the Public Sector Human Resource Policy (Jabatan Pentadbiran Awam, 2011). However, despite the uniform nomenclature of the academic ranks, differences in academic roles and status are now quickly emerging within and between institutions. This is because with the transformation of the higher education system, each university is required to align their mission, niche and roles with their original mission and be accountable to their internal and external stakeholders. However, unlike other public sectors, public universities are relatively autonomous self-governing institutions (statutory body) with a governing Board of Directors. As such, many of the academic related policies, such as the academic promotion and merit system, are decentralized, and each university is

⁵² Academic grades range from DS45 (Lecturer) to DS51/52 (Senior lecturer); DS51/52 to DS53/54 (Associate Professor); and DS53/54 to VK7 (Professor).

allowed to establish its own criteria, so long as these are consistent with national guidelines. Thus, while traditional academic career structures remain strong, the promotion criteria and processes differ between institutions.

What this means is that despite having one remuneration scheme with a common grade and salary system, Malaysian public universities have different academic promotion policies and practices. Thus, it is not uncommon to hear about individuals from established universities who have achieved a reasonable standard in research and teaching but have yet to be promoted to a higher rank, while individuals in less established universities who have neither published nor researched much are promoted early in their academic career. As a result, the majority of academics believe that research, teaching, and publication make little difference in promotion (Noormina, et al., 2010; Azman et al., 2012).

For some universities, particularly the research universities, the promotion system is dynamic and keeps changing. In fact, all of the research universities have made modifications to their promotion system either to enhance academic quality by recognizing various kinds of contributions, or to fulfil the indicators set by the world ranking systems. For instance, the National University of Malaysia's (UKM) faculty promotion and merit system includes the creation of four groups of disciplines: social science, science, clinical (including nursing, medicine and dentistry) and research institutes. These disciplines are further tracked according to different types of professional activity: teaching-oriented; research-oriented; and teaching and research-oriented (a balance between teaching and research required). Promotion and merit criteria are customized for each group of disciplines, which assign different weights to teaching, research, and service. On the other hand, the University of Malaya has raised the bar for their academic standard performance target and new promotion criteria by benchmarking against global research universities in Asia, as well as other regions. The university gives a higher weightage to quality research and publication in their appraisal and promotion system. As a result, it has successfully increased the number of ISI publications (544 in 2007, 704 in 2008 and 1145 in 2009).

Nevertheless, the national policy about evaluating and promoting academics in universities has not been developed much. Only one policy document was issued by the Higher Education Department

of the MOE aimed at providing basic guidelines for promotion criteria. The Guideline on Appointment and Promotion Exercise to Professor at Institutions of Higher Learning in Malaysia (Ministry of Higher Education, 2012) is regarded as the first national guideline for universities to develop their own academic promotion system within universities.

CRITERIA FOR ACADEMIC PROMOTION IN MALAYSIAN PUBLIC UNIVERSITIES

IN MALAYSIA, the promotion criteria may vary significantly from public and private institutions; and, surprisingly, may also vary from one public institution to another. Thus, academic promotion in Malaysian institutions is inconsistent, with the various promotion criteria forming a major source of dissatisfaction among academics. Although the Ministry of Education has set guidelines on the promotion exercises at public universities, some universities have refused to abide by the guidelines and instead have created their own. This phenomenon is common among new universities seeking to attract academic staff from other universities by offering promotions with less stringent criteria and less rigorous procedures. Thus, the guidelines set by these new universities are normally inferior to those provided by the ministry. While some universities may follow the official guidelines, many variations are observed in one or more of the following:

- i. Variations in criteria/requirements for promotion;
- ii. Changes in the mechanisms or procedures; and
- iii. Compromises in the degree of transparency of the process.

There are variations that may be observed in terms of the quantity and quality of contributions by academics in teaching and learning, research, publications and other academic activities and services. The science-based disciplines and the non-science disciplines may have different criteria for their promotion exercise. Under any circumstances, the universities must understand that the criteria set for academic promotion must encompass the following expectations of an academic.

- Making continuous contributions in their field of specialization, mainly through the sharing and dissemination of knowledge, the creation of knowledge, and by being innovative, respected, relevant and referenced in his/her field of expertise;
- Displaying scholarship through significant contributions with impact to the community which demonstrate the relevancy of societal transformation. This is normally possible through strong consultancy work and high impact research based on the needs of the country;
- Demonstrating intellectualism through strategic thinking and actions in order to reflect the wisdom of an academic;
- Advocating and embracing the culture of scholarship through activities related to the love for knowledge and as a seeker of truth. Thus, when an academic is promoted, it is an indication of the increment in their knowledge, skills, wisdom and relevancy; and
- Acting as a “role model” for the university.

4.1 Promotion Criteria

The following describes the criteria for the promotion exercise in Malaysian universities. These will vary with the position of the academics, particularly in terms of quantity and quality. Each university will have the right to determine the quantum and quality of the contribution required for each post.

Seniority (experiences)

Seniority of an academic is used as supporting criterion and may be the least important among other criteria. In Malaysia, promotion is based on performance and issues related to age and gender are not considered in the exercise. Seniority may mean one has had more experiences and is possibly wiser, but it is not necessarily an indication of excellence. Seniority has been used for consideration of those who in the early part of their careers have devoted themselves to the establishment of centres, faculties or even a university.

Teaching and learning

This is an important criteria and one of the primary indicators of academic excellence. The measurable part of the criterion is based on

the number of courses taught, the number of credits for the courses, the number of students per course, the time spent as academic advisor and other academic workloads, undergraduate student supervising and curriculum, teaching and learning and innovation in delivery systems. An evaluation of teaching made by students will also be considered.

Research and innovation

Research and innovation is one of the core businesses of universities and, therefore, must be participated in by all academics. Performance is measured based on the number of research grants (national or international), the magnitude and scale of the research projects, involvement as lead investigator or co-researcher, the source of funding, research impact, patents, IPs, technology transfer and commercialization.

Publication and writing

Publication is one of the main outcomes of research work. Publication is measured based on the quality and quantity of publications. Publication includes articles in reputable journals, monographs, chapters in books, books and proceedings. Reputable and quality publications should appear in indexed journals, ISI, SCOPUS and journals with high Impact Factor (IF). Publication will also be considered by whether it is of national or international standing. For the promotion exercise, the strength of an academic is also determined based on the H-index or numbers of citations. Academics are encouraged to write popular articles for the community, with the objective to create a knowledgeable community. The quality of publications may vary significantly from one institution to another. For example, an academic staff was promoted as early as age 35 for their publication in *Nature*, which has an IF of more than 35.

Postgraduate supervision

The postgraduate supervision criterion covers MA and Ph.D. degrees. The number of students supervised, number graduated, and the roles of the supervisor (either as the main supervisor, a co-supervisor or a member of a supervisory panel) will be used as measurable indicators of performance. Normally, postgraduate supervision is also associated with the research activities of an academic. Student performance during their studies based on the parameter of “Graduate on Time (GOT)” will add value to the supervisory quality of an academic.

Academic recognition

Academic recognition refers to the degree or level of respect received by an academic from his/her academic peers. The respect or recognition criterion can be indicated many ways including: as an examiner of theses; participating on evaluation panels for research grant applications or promotion exercises; as a reviewer of manuscripts, journal articles and papers; by delivering plenary, invited or keynote presentations at conferences; as an external examiner; by receiving awards (teaching and research awards, and other awards based on academic and research excellence); by taking visiting professorships; as an editor of index journals and books, and by participating on academic committees as an advisory panel/committee member for government/non-government agencies and industries related to his/her expertise. These indicators can be further divided into national or international involvement which may carry different weightage.

Community services and nation building

One of the contributions which will differentiate a relevant and less relevant academic will be his/her role as part of services to other external agencies, the community and the country. The academic's involvement and participation will either be as the head or chairman or as a member of committees, in the community, or at the national or international levels. Service within the community will be in the form of voluntary services, community development programmes and community transformation activities. Academic participation in government bodies such as think tanks and committees at the ministerial level for the national interest will be considered part of a contribution to nation building.

Consultancies and industry linkages

Consultancies can be in many forms, with or without monetary rewards provided by the government and non-government agencies or industries. The academic's performance will be evaluated based on the quality of the consultancy work and the financial implication involved in the work. Quality can be defined in terms of the level of impact of the work, the scale of the work and cost of the consultancy work. Industry linkages created with the industries may also involve consultancy work which includes contract research, contract services or serving on advisory and expert panels either at the national or

international level. Industry linkages will cover the scope of industrial attachment, advisory panels, research collaborators, technology transfer and commercialization through joint ventures for the establishment of companies.

Administrative roles/contributions to university

Contribution to the university refers to involvement and participation in developing the university and being responsible for bringing the institution to the next level. Under many circumstances, this contribution is measured based on the posts held, or participation as a team member involved with the leadership and management of the university, for example as vice-chancellor, deputy vice-chancellor, director, dean, head of department or head of programme. Nevertheless, promotion will also consider staff without any positions but who contribute extensively in enhancing the image of the university through various ways, including through excellent academic involvement and research.

These criteria may be used completely in the promotion exercise, or only part of these criteria may be used for different positions. Obviously, not everybody will be able to fulfil all the criteria, however, as an academic, he/she must develop or reorganize their career based on all the aspects identified as criteria for academic promotion. The extent of consideration will also cover the personal qualities of the staff before any promotion is considered. It is important for the management of the university to be convinced that the person to be promoted will be able to carry the title of the new position and make the university proud.

Generally, with increasing seniority, the emphasis in the roles of an academic increases from strong teaching and learning to strong research and innovation. In between, an academic is expected to be involved in developing strength in student supervision, and through consultancy and community services. It is hoped that academics will garner recognition in all their academic activities. This is reflected in the distribution or weightage based on criteria (by percentage) as shown in Table 1:

Table 1: Weightage of Contribution for Academic Promotion

Promotion and Roles	DS45 to DS51/ DS52	DS52 to DS53/54	DS53/54 to VK7	VK7 to VK6	VK6 to VK5
Teaching and learning	50-60	40-50	30-40	Continuous quality improvement and the making of an academic leader	
Research and innovation, and supervision	15-20	20-30	30-40		
University and Community Services	5-10	5-10	5-15		
Academic recognition and academic leadership	5-10	10-15	10-20		
Consultancy and industrial linkages	5-10	5-10	5-15		

DS45 – lecturers, DS51/52 – senior lecturers, DS53/54 – associate professor and VK7, VK6 and VK5 – positions for professors. A ratio of 10:30:60 percent (Professor: associate professor: senior lecturer/lecturer) is normally practice by many institutions in the country.

Source: Noornina et al., 2010. Universiti Sains Malaysia and Universiti Malaysia Kelantan Promotion Guidelines

Other criteria include:

- A minimum mark of 80 percent must be obtained before submission of application for promotion;
- Minimum marks for teaching and learning, and research and innovation, and supervision may be decided by the universities;
- For promotion to VK6 and VK5, only achievements after VK7 and VK6, respectively, will be considered. In most cases, the application for VK6 and VK5 can only be made upon invitation. The criteria used for the promotion to VK6 and VK5 will focus on identifying a renowned professor who is able to create impact and is recognized by their academic fraternity and the community; and

- Many universities are moving towards creating more flexible procedures in the process of application. Any new procedures will be discussed and agreed upon by the Senate, Board of Directors or University Board of Governance.

4.2 Distinguished Professors

Only professors who are in the VK5 category can be considered for the post of distinguished professor. Distinguished professors are academics who go beyond as researchers, scientists, academicians or teachers, and who are able to make a difference to the community and the country based on their expertise. Therefore, their contributions in areas not within their expertise will not be considered. For example, a vice-chancellor who is an industrial chemist will only be considered solely based on his academic and research contributions in industrial chemistry, and not his administrative role as a vice-chancellor. The criteria for the appointment of a distinguished professor are as follows:

- i. a minimum h-index between 8 – 12 with extraordinary academic achievements in area of expertise;
- ii. research and other contributions, based on the concept of academic-based public advocacy, should have significance and high impact for global prosperity (i.e. policy formulation, establishment of an institution or centre of excellence);
- iii. recognition in the form of prestigious awards at national and international levels from learned organizations; and
- iv. research and publication with high impact which serve as an indication of a quantum leap from VK5 to distinguished professor; from an expert to a scholar. Based on his/her expertise a distinguished professor must be able to participate in the strategic arena, or in the formation of policy related to his/her expertise for nation building.

4.3 Promotion Exercise for Academics who are Seconded to Government Agencies or Industry

Academics that are seconded to government agencies or to industry are actually the staff of the universities with revised roles, particularly in

the learning and teaching process. They must follow all the regulations and rules stipulated by their university of origin. Therefore, they must continue to excel in the culture of knowledge and scholarship, particularly in their academic roles. The marks ranging from 10-30 percent are allocated to cover those roles, while 70-90 percent of the marks will come from five criteria set for the promotion.

The five (5) criteria used for promotion exercises (70-90 percent) are:

1. Implementation of main job specification as agreed between the universities and the agencies where the staff are seconded. The measurement will be based solely on the outcomes of the job with the marks ranging from 30-50 percent.
2. Innovation and creativity in undertaking the job forms 20-30 percent of the evaluation. Innovation may refer to the number of products; added value to existing products or improvement of processes, while creativity will be indicated by how the innovation is made available.
3. Generation of new knowledge and the dissemination of knowledge and skills should be continuous throughout the duration of the secondment. (20 percent)
4. Contributions based on their academic expertise, as well as outside consultancy work, should continue throughout their secondment. (5-15 percent)
5. Consideration will be given to services rendered to the institution where the academic is seconded (5 percent).

4.4 Promotion Exercise for University Staff from Industry

In the Malaysian Higher education system, the mobility of expertise from industry to university is highly encouraged. Therefore, a reward mechanism for promotion has been developed. The promotion process for staff from industry will be based on the intensity of the inclination of the staff towards the required academic functions. The criteria for a new appointment or the promotion of existing staff are similar to that of the academic staff who are seconded to industry. However, the staff from industry will now focus on their academic roles. The criteria are:

- i.** Implementation of main job specifications (10-40 percent);
- ii.** Innovation and creativity (20-30 percent);
- iii.** Generation of knowledge and skills (30-40 percent);
- iv.** Consultancy and expertise (5-15 percent); and
- v.** Services rendered to the institution where the staff are seconded (5 percent).

PROCEDURES FOR EVALUATING AND PROMOTING HIGHER EDUCATION TEACHING PERSONNEL

THERE ARE apparent variations in the minimum benchmarks set for each component of the evaluation criteria as discussed in the preceding section. This is also evident in the study by Noornina et al. (2010) where the item on criteria consistency showed the lowest mean (2.50, SD = 0.87). On the other hand, compared to criteria, the processes exercised by Malaysian universities had only a slight variation, as confirmed by the same study in which the item on process awareness had the highest mean (3.67, SD = 0.792).

The general processes undertaken by all public universities are rather similar. In most universities, qualified candidates can submit their application at any time provided they fulfil all requirements, however, there are universities that still accept applications by invitation only once a year. To speed up the process, the candidate has to notify the faculty before submitting their application to allow the faculty to nominate external assessors and gain the senate's approval. At Universiti Putra Malaysia (UPM), to evaluate promotion to professor position five assessors have to be identified among eminent scholars who are attached to institutions outside of Malaysia. This is to support the university's internationalization agenda, and to increase the visibility of the institution. Assessors are selected among renowned professors who are in the same academic discipline as the applicant and the term of appointment is for three years. However, some universities do accept external assessors from within the country for application to the professor position. For application to the associate professor position, UPM does appoint assessors from among professors within the country.

The whole process for application can be summarized in the Table 2. The table has been adapted from a flow chart for application for the professor position in the Guideline on Appointment and Promotion to the Professor Position of Higher Education Institutions in Malaysia (Department of Higher Education, 2012). A similar process is used for application to an associate professor position. As shown in the table, a candidate will have to fill out the required forms, provide all supporting documents and complete a scoring sheet to check their eligibility to apply. The application will be screened by the dean and the faculty's screening committee for promotion. The submission will be done by the assistant registrar of the faculty to the Human Resource Department, under the Registrar's Office. Applications that have been screened will be sent to the external assessors for evaluation, either by print or soft copy.

Each university sets the number of assessors and academic referees that they need for each position. For instance, at UPM, an application for a professor position will be considered complete if they have received evaluation reports from three out of the five external assessors, two referee's reports, and reports from the head of the department and the dean.

Table 2: Processes in Applying for Academic Promotion

Process	Activities	Responsibility
Preparing for application <ul style="list-style-type: none"> • Forms • Scoring sheets • Evidence and supporting documents 	<ol style="list-style-type: none"> 1. Completing the forms and filling up the online application 2. Attaching all evidence and supporting documents 3. Completing the scoring sheet based on the criteria set by the institution. The cut off point for eligibility to apply is 80 percent. 	Applicant

Endorsement by the University Board	1. Names of successful applicants will be tabled at the University Board meeting for endorsement.	University Board
Results of Application	1. A letter will be sent out once the minutes of the University Board meeting have been approved.	Registrar

In analysing criteria and processes undertaken by sixteen universities in Malaysia, (two universities were excluded because they were recently established at the time of the study, and two others did not respond), Noornina's (2010) study identified that there were common steps for application from lecturer to senior lecturer, senior lecturer to associate professor, and associate professor to professor as summarized below. As mentioned earlier, in exceptional cases, an academic can apply directly to the professor position from a lecturer or senior lecturer position.

5.1 Lecturer to Senior Lecturer

1. Application is made through the head of department and dean.
2. Applicant submits application letter/forms and documentation/evidence. Some universities require internal assessor's report and scoring sheet.
3. Review is done either at the faculty and/or university level by the Screening Committee, Selection Committee, and/or Expert Group Committee (*Jawatankuasa Kesepakatan*) or a combination of these committees.
4. If successful, the applicant may or may not be asked to attend an interview.
5. The university's governing body (top management committee or university board) endorses the results.
6. The applicants are notified by letter (successful or otherwise).

5.2 Senior Lecturer to Associate Professor and Associate Professor to Professor

1. Application is made through the head of department and dean.
2. Applicant provides the names of two referees, or internal assessors.

3. Appointment of external assessors is made once it is approved by the University Senate or vice-chancellor.
4. Applicant submits application letter/forms and documentation/evidence. For these positions, most universities require an internal assessor's report and scoring sheet.
5. All required documents are sent out to assessors once they have notified of their willingness to evaluate.
6. Upon receipt of at least two assessors' reports, review is conducted at the faculty and/or university level either by the Screening Committee, Selection Committee, and/or Expert Group Committee (*Jawatankuasa Kesepakatan*) or a combination of these committees.
7. Successful applicants attend the interview session.
8. The university's governing body (top management committee or university board) endorses the results.
9. The applicants are notified by letter (successful or otherwise).

Malaysian universities are now moving towards submission of all the documents required for promotion using an online system, or by attaching the required documents in soft copy and sending through email. Previously, the documents were sent in printed form through the head of department and dean to the Registrar's Office. The Quality Management System usually requires that the whole process from submission to acknowledgement of the results should not be more than six months. However, there have been glitches whereby the process may be halted for months. This may be in the case where the assessors did not respond within the time frame given by the institution. There also have been cases where reappointment of external assessors needs to be made which requires prior approval from the senate. Reappointment may take months, from the time that the faculty makes the search, contacts the potential assessors, presents in senate meeting for approval, submits assessors' names to the Registrar's Office, registrar contacts the assessor, and so on.

A comparative analysis on the application procedures, the criteria and the evaluation process for the promotion from associate professor to professor at selected public universities is described in Table 3. As indicated in the table, in general, the application procedures, the criteria

and the evaluation processes for academic promotion at Malaysian public universities are similar in many ways. This is because all Malaysian public universities need to comply with the guidelines set by the Ministry of Education for academic promotion. The salary schemes for all academics are also the same for all universities, as decided by the Public Service Department, regardless of the size, age or category of the universities. A professor at UMK, a new non-research university, has the same salary as a professor at USM, a senior and APEX Research University. While the procedures, criteria and processes are similar on

**Steps
involved at
different
universities**

	UMK (2011)*	UMT (2015)*
Application Procedures	The university will advertise internally for all promotion exercises. Based on the advertisement, the candidate will make the application on the specific application forms and will submit them to the faculty for the endorsement from the dean. Completed application forms will be submitted to the Human Resource Department for the pre-screening process before being submitted to the Evaluation Committee. The candidate will only need to submit the achievement obtained at the current position. Other activities throughout the career must be provided in the CV documents. The candidate will provide scores for all the achievements using the application forms.	Applicants must be confirmed in his/her current position with his performances of at least 80 percent for three years of service. The applicant must be free from any disciplinary charges. Application will be made using application forms and submitted with a complete CV together with supporting evidence to the faculty for endorsement. The application forms will be submitted to the Centre for Talent Management to be screened by the Promotion Screening Committee which will be chaired by the Director of the Academic Talent Management Centre. The committee will check and screen the qualifications, suitability and level of excellence of the candidate.

paper, however, in terms of the implementation, each university may have their own variations depending on their needs and objectives for academic promotion exercises. It has been an accepted norm that the promotion exercises in newer universities are less stringent compared to older and more established universities. As a result, academics are inclined to move from one university to another university which provides better opportunities for their promotion.

Table 3: Comparative Analysis on the Features of Professor Promotion Exercises at Selected Public Universities

UKM (2011)*	UPM (2008)*	USM (2013)*
<p>Applicants need to prepare and complete the application forms together with a complete CV in two languages (English and Bahasa Melayu) along with their five best publications. The application forms are submitted to the faculty/centre/institute which will check on the qualifications of the applicants. The application will be screened by the Expert Group Committee at the faculty, centre or institute, chaired by the Dean/Director. The CVs of qualified candidates, based on the service requirements, will be sent to three external assessors.</p>	<p>The applicants will complete the application forms online with all evidence and supporting documents attached, including CV. The candidate is also expected to fill the scoring sheet based on the criteria. The minimum score for eligibility to apply is 80 percent. The application forms are then submitted to the assistant registrar of the faculty and the application will be assessed by the Faculty Promotion Committee. The faculty will submit the application documents to the Registrar's office.</p>	<p>Applications are made based on internal advertisement by the Registrar's Office. All applications can be made on specific application forms and submitted together with a complete CV based on the format which has been agreed upon. The application form has five sections. Section A is for the applicant's biodata, B for achievements, C for justification for promotion, D for head of department comments, and E for the list of suggested potential external assessors. The applicants must describe clearly their justification for promotion based on each criteria followed by the scores based on the range of marks allocated for each item. The application form is submitted to the faculty/school/centre or institute. The faculty/school/centre or institute will set up an internal committee to assess the marks/scores provided by the applicants and subsequently will also provide another set of marks. After endorsement by the dean, the application forms/documents are submitted to the Registrar's Office.</p>

**Steps
involved at
different
universities**

	UMK (2011)*	UMT (2015)*
Criteria for Promotion	The criteria set by UMK for professor promotion (weightage) are research and publication (40 percent), teaching and supervision (20 percent), academic recognition and leadership (20 percent), contribution to the university (5 percent), consultancy (10 percent) and community services (5 percent). Candidates must achieve a minimum mark of 80 percent before he/she can be called for an interview.	The criteria used by UMT are: teaching, supervision, research, publication, self- development, knowledge transfer, and academic leadership and management. Self- development includes activities such as presentations at conferences in the area of specialization, while knowledge transfer covers consultancy, services in the area of expertise to the community, government and industry. No weightage to the criteria are used. However, the minimum quantity is identified before the application can be considered.

UKM (2011)*

The criteria set varies between one faculty, institute or centre based on their disciplines. There are six criteria used and the weightage for each criterion varies with the disciplines and institutions. In the case of faculty, the weightage is as follows: teaching and supervision (30 percent), publication (25 percent), research and consultancy (15 percent), conferences (10 percent), community services (10 percent) and administration (10 percent). For the Medical, Dentistry and Allied Health faculties, the weightage is more skewed to the community services and teaching which can be as high as 40 percent. At the same time, the personal qualities of an academic are also considered which will be evaluated by their peers.

UPM (2008)*

For UPM, the criteria used focus on three major components that are: teaching and supervision (30 percent), research, consultation and publication (40 percent) and academic leadership and professional services (30 percent). Within these components, the issues of quantity, quality, recognition and contribution either to university, community or country will carry a different set of weightage.

USM (2013)*

In the case of USM, the criteria and the weightage used are as follows: research and publication (40 percent), teaching and supervision (20 percent), recognition and academic leadership (20 percent), consultancy (10 percent), and services to the university and community (10 percent). The criteria for consultancy and services are capped suggesting that the quantity of contribution will have a limit. Each of the criteria will be further refined and based on the quality of work, and marks will be allocated accordingly. For example, publication in international journals with ISI indexing will carry higher marks than those published nationally.

**Steps
involved at
different
universities**

	UMK (2011)*	UMT (2015)*
Evaluation processes	<p>The evaluation begins with the Faculty Evaluation Committee chaired by the dean which will confirm the scores provided by the candidate. Later, the application form will be evaluated by the University Evaluation Committee chaired by the vice-chancellor. Both committees will evaluate the scores and determine whether the candidate has achieved the standards set by the university. The resumes of successful candidates will be sent to three external assessors. Three positive assessments are mandatory before the candidate can be invited for an interview which will be chaired by the vice-chancellor. Successful candidates from the interview will be tabled at the University Board of Directors for endorsement and appointment. Unsuccessful candidates may appeal the decisions made by the Board.</p>	<p>After successful approval by the Promotion Screening Committee, the resumes of the successful candidates will be submitted to three external assessors of which one of them must be from an international academy. Successful candidates based on the positive reports by the external assessors will be invited for an interview. Successful candidates from the interview will be tabled to the Selection Committee which will subsequently table it at the Board of Directors Meeting for approval and appointment.</p>

UKM (2011)*

The evaluation process begins after receiving the reports from three external assessors. Together with the external assessor's reports, the minutes of meetings of the Experts group (at the faculty/centre/institute), the CV of the candidate will be submitted to the Registrar's Office. The office will check the completeness of the documents before presentation to the Selection Committee. The Selection Committee will be chaired by the deputy vice-chancellor. The committee will make recommendation to the University Board of Directors for endorsement.

UPM (2008)*

Evaluation at UPM begins with the Registrar's office sending the document to three external assessors. After receiving three positive reports, other documents, such as reports from the dean, head of department, referees and assessors, are compiled. Successful candidates will be invited before a Promotion Interview Committee. The committee is chaired by the vice-chancellor. The names of successful applicants will be tabled at a University Board meeting for endorsement.

USM (2013)*

The evaluation of the applications starts with the setting up of a Preliminary Evaluation Committee. Evaluation is made based on the overall achievements and not confined to only one or two categories, even though they may show outstanding strength. The committee will identify the potential candidates and their resumes will be sent to three external assessors. The external assessors must be renowned professors in related fields. Candidates with three positive reports from the assessors will be selected to attend an interview by the Selection Committee which is chaired by the vice-chancellor. Successful candidates from the interview will be presented to the University Board of Governors.

UMK : Universiti Malaysia Kelantan, UMT : Universiti Malaysia Terengganu, UKM: Universiti Kebangsaan Malaysia, UPM: Universiti Putra Malaysia and USM: Universiti Sains Malaysia. UMK and UMT are young focus universities, while UKM, UPM and USM are premier Research Universities.

Source: Guidelines and Criteria for academic promotion from respective universities). *The figure in the brackets is the year of the latest edition.

ISSUES AND CHALLENGES IN ACADEMIC PROMOTION

WE ARGUE that there are still distinct and significant differences in the promotion system for different academic ranks among the public universities in Malaysia. The complexities in the promotion process are difficult to describe as they involve many interrelated issues pertaining to various aspects of promotion, some of which are discussed below.

6.1 Different Promotion Systems with One Salary Structure

Generally, universities in Malaysia have different academic promotion practices and systems. Each university develops its own set of descriptive standards, specifies the number of products and activities expected for promotion, and these quantitative formulas differ from one university to another despite the fact that the same promotion involves the same grade and salary. Although some efforts have been made to incorporate a fairer approach to evaluating teaching and research performance within the promotion guidelines at the national level, each public university still has the autonomy to divide, reward and promote their academics. It has also often been claimed that some newly established universities have lower target numbers for their numeric standards. On the other hand, based on their research missions, and as ranking requirements have risen and competition has intensified, the rules and standards for evaluating promotion in research universities are becoming increasingly more stringent.

Consequently, the competition for promotion at research universities is higher than those in other types of universities. The discrepancies

in promotion arise because decisions on appointment and promotion are the responsibilities of the Board of Directors of the respective public universities. However, the scheme of service is the same within the public university system. This situation creates unhappiness and dissatisfaction among many academics. Worse still, this has promoted the movement of academics among the public universities, especially those from research universities to comprehensive and technical universities. Usually, those who have moved are those who failed to be promoted and therefore seek promotion with another university that they know has less stringent criteria and standards. While the movements (academic mobility) benefit the individual academic in terms of rank and salary, it also creates status and credibility discrepancies within the public university system (Azman et al., 2012). Apart from creating dissatisfaction, the institution-specific and inconsistent standards of promotion within the same salary scale reduces Malaysian academics' ability to be nationally competitive.

With the academic capacity crisis facing the newly established universities, upward mobility for promotion to professorship is becoming a norm. In many cases, the management of the universities grant promotion to professorship to academics who failed to succeed in their promotion bid at another public university in order to lure them to their university. With the increasing movement of academics due to easier or automatic promotion, there is an urgent need for the MOE to examine this unethical practice.

6.2 Research versus Teaching

A more serious challenge for academics in their promotion bids is the 'research versus teaching' dilemma, in which promotion is pegged more to research than teaching (Green, 2008; Fairweather, 2005). This is obviously a predicament for those academics who view teaching as their first priority. To make matters worse, academics are faced with other conflicting demands: the university's expectation for commercially viable output, industry's need for quality graduates, and the academic's personal motivation for promotion via extensive research and publication.

There are many academics who find the greater emphasis on research over teaching demoralizing. These academics tend to be those who devote their time and energy to teaching and are highly committed to

their students, but owing to the research-oriented academic culture, they find their efforts unrewarded or undervalued. This dilemma is common in countries like the UK and the U.S, where the motto of ‘publish or perish’ equally applies. This may have to do with the perception that teaching quality is hard to measure and evaluate as opposed to research and publication.

From our perspective, it is wrong to think of research as the enemy of good teaching. Even in a professional school within a research university, it is appropriate to place emphasis on the quality of research activity, notwithstanding with a different focus, while not neglecting teaching and service in the training of professionals. It has been said a number of times in the literature, that it is important that faculty continue to demonstrate that they are “up” on the latest research and are able to communicate results of inquiry projects and findings to students in both undergraduate and graduate classes (Azman et al., 2014b; Boyer, 1994; Taylor, 2007). Thus, there need to be ways of ensuring that teaching and learning is actively connected to research within institutions so as to maintain the quality and meaning of university education. Effective application of the teaching – research nexus needs to be given ‘added value’, or rewarded particularly by promotion. While there are benefits for differentiation and restructuring of roles and promotion tracks, i.e. teaching track or research track, as practiced by some research universities, it has to be borne in mind that the promotion track also has the potential to undermine the possible benefit to students of any synergy between teaching and research activities.

Admittedly, there is a lack of systematic measurement of the extent to which teaching excellence is included in formal promotion criteria across Malaysian public universities. This may discourage academics to perform quality teaching. There have been many claims that universities care less about teaching than they do about research; that new faculty should not waste their time on teaching; and that promotion is never granted on the basis of teaching contributions alone. These beliefs about the ways in which teaching is valued, or devalued, in universities are becoming pervasive especially in research universities. This raises numerous questions, most importantly: where do these perceptions come from? Is there something inherent in the way that the promotion systems operate that provokes such beliefs? In order to counter the academics’ belief that teaching is not valued, particularly for promotion, Malaysian universities must have clear, thorough and

transparent evaluation policies that articulate institutional expectations for standards of performance, and define how and by what measures scholarly teaching will be assessed. Without this, universities run the risk of sending a message that teaching is not valued or recognized and that only research is privileged.

This debate over priorities is also apparent among disciplines. The privilege given to the research-based publications has led to the undervaluing of other activities central to the academic activities of the social science discipline, such as writing textbooks and chapters in books, developing courses and curricula, documentary editing, museum exhibitions, and film projects to name a few. To put it bluntly, the focus on research and publication, and the emphasis given to securing external research grants, particularly emphasized by the MYRA, have diverted energies away from important faculty work and output. They have also had a direct and negative impact on the quality of classroom instruction and on the ability of institutions to extend their services to their communities.

Thus, there is a need to examine the documents that communicate teaching and research performance standards that quantify relative values objectively for promotion criteria in the public universities. The bottom line is that the twenty public universities must adhere to the minimum qualitative and quantitative standards for promotion, especially at the professor rank, so that the current inconsistencies involved with promotion decisions can be reduced. The established standards and criteria must be applicable and communicated to all academics regardless of university type. This will ensure that the status of a “teaching professor” in academia is equal to that of a “research professor”. And, this will also give a true picture of the ideal professor at university, that is, one who is excellent in his or her chosen career path (Azman et al., 2012).

6.3 Globalization and Ranking Phenomena

In addition to the obstacles above, Malaysian academics are also challenged with issues related to globalization - issues that could threaten their ‘academic freedom’. They need to be responsive to market forces, partake in entrepreneurial activities and engage in ongoing quality assurance via self-assessment and regulation (Welch,

2005). Due to corporatization, university governing bodies and their mission statements started to take on a distinctly corporate character. Performance targets became more important than academic autonomy and dignity (Marginson, 2006; Marginson and Considine, 2000).

Globalization in reality has far-reaching consequences for universities in Malaysia. The rise of global English (Welch, 2009; Jundapitak and Teo; 2013, Werther et al., 2014) has made English the dominant medium of academic discourse, particularly in publication and research activities. This has directly and indirectly influenced promotion criteria. Academics proficient in English benefit as there are greater opportunities for them to publish in internationally refereed journals, while those who are not will find it a challenge in their quest for promotion (Md Yunus et al., 2008; Nurulazam, A. et al., 2010; Salager-Meyer, 2008). Globalization also brings in foreign academics to local universities. As a result, local academics may need to compete for rewards and recognition with foreign academics serving in the same university (Noornina et al., 2010; Azman et al., 2012a).

Pressure for research productivity in academic promotion arose from the emergence of international 'league tables' of universities in the mid-2000s, such as those produced by the Times Higher Education and by Shanghai Jiaotong University. Malaysia's aspiration to chart some of her universities in the top 100 in the ranking of the universities has also significantly intensified the focus on research. This has prompted the public universities to emphasize the importance of research and publication, especially with the establishment of Malaysian Research Assessment System (MYRA) that all universities must take part in. In pursuit of the above set goals and targets, the senior universities carefully plan their strategies for stimulating research and publication efforts, which include increasing secured research funding, publication in journals with high impact factors, citations, and their pool of principal investigators. The assessment of academic scholarship using measures such as impact factor and h-index has become part of the culture. Academics who demonstrate research productivity in quality publications are celebrated as they receive higher merit points in the promotion assessment. However, these efforts have given a greater advantage to those academics in the field of science than those in the social sciences, hence widening the divide in terms of promotion success between these two fields (Azman et al., 2014b).

6.4 Quality versus Quantity

The issue of quality is critical in universities and must be taken seriously. This is particularly important in the Malaysian university system which to a certain extent, we argue, faces a crisis of quality. Research on academic promotion in public universities in 2010 exposed that fair and recognizable evaluation criteria to measure the quality of academic performance are missing (Noornina et al., 2010; Azman et al., 2012a). Gradually, academics have come to realize that the quantity of teaching, research grants, supervisions and publications is more important than the quality. Unfortunately, this lack of fair and recognizable evaluation criteria for quality stalls the motivation of many to improve the quality of their teaching and research. It also has often been claimed that some newly established universities have lower target numbers let alone proper indicators of quality in the setting of their promotion standards. This calls for a fair and recognizable evaluation system of the quality of academic outputs, which should be based on peer review and stakeholders' accounts (e.g. students) instead of bureaucratic logic (lack of professors) and only the voices of senior academics and management.

Although it is acknowledged that universities should set their promotion criteria based on their mission (i.e. research, teaching and comprehensive universities), the issue raised here, for which further research is necessary, is that different sets of quantitative measures are used by different universities to offer the same promotion. In other words, there is a broad range of quantitative and qualitative standards in academic promotion set by the different universities. Worst still, the broad range of quantitative and qualitative standards in academic promotion may not inform competence or the actual performance, nor do they promote efficacy among academics in Malaysian public universities (Azman et al., 2012). As argued by many scholars, if messages about work values, excellence and quality are not consistent across the promotion process of universities, academics may receive mixed or contradictory messages, resulting in frustration, confusion, lack of success and even complacency (Gagne, Koestner and Zuckerman, 2000; Latham and Ernst, 2006).

The most serious cause for concern, however, in placing such emphasis on quantity is that rather than trying to find new discoveries and create breakthroughs in scientific research that require a multidisciplinary

approach, many Malaysian academics tend to “play it safe” by choosing research projects that are replications of old research, as well as those that are more likely to lead to high numbers of publications. According to critics of the current reward system, this practice will lead to research that merely expands an existing body of knowledge rather than research that creates innovation and solves problems (Kuhlmann, 2014; Harzing, 2005; Horn, 1999; Stossei, 1987). As such, research quality has been found to be poorer and this has hampered the pursuit of knowledge and innovation in the universities. Consequently, although the government has spent a lot of money sponsoring fundamental research for Malaysian academics, research output has been found to be inadequate (IPPTN, 2013-current higher education scenario and impacts to Malaysia research report).

In addition, we argue that the current academic promotion policy of publish or perish, with emphasis on the number of publications is the fundamental reason for the poor quality of publications produced by some Malaysian academics. In other words, the quantification of performance indicators and the emphasis on quantity in evaluating and promoting academics is regarded as the key element in the multiplication of worthless publications in Malaysia. The sheer volume of academic publications has been linked to “intellectual confusion, poor research design, and fraud in science” (Stossei, 1987). As a result, instead of contributing to knowledge in various disciplines, the increasing number of low quality publications is aimed at fulfilling the quantitative measures for publications in order to bid for promotion.

Noticeably, many Malaysian academics are competing to publish in newly created ‘international journals’ that have been generated to serve the rapidly increasing number of English-language articles produced by academics in China, India, and Eastern Europe. These profit-making journals demand high payment through their article-publishing charges. Principally, these journals run against the goals of scientific inquiry, having no guarantee of peer review and are, therefore, untrustworthy. As a result, many academics often become cynical about the higher ideals of the pursuit of knowledge and insist that as long as they publish, they have successfully met the KPIs set on them. The ‘work smart’ culture is therefore prevailing among some academics as they create pathways to speedier publication, cutting corners on methodology and turning to politicking and unethical strategies for promotion. The Higher Education Department has taken a few steps to curtail publication

of low quality journals by banning academics from publishing in the 'questionable' journals, but the university management needs to initiate changes in the promotion criteria in order to increase high quality work. Rewarding faculties on the number of low quality publications will not only increase the tendency for Malaysian academics to mediocrity, but more importantly, will promote an unhealthy academic culture that does not foster excellence.

Research universities' academics are perceived to have the worst deal with regards to academic promotion. Because they are deemed relevant and critical in Malaysia's drive towards achieving its world class ambition, research universities in Malaysia have set higher quantitative and qualitative standards of promotion criteria since they have to compete at the international level to achieve positions at the top of the world rankings. In a single salary system, but with more stringent promotion criteria, these academics are highly disadvantaged. This is because increase in research and publication activities tends to constitute an addition to an already heavy teaching load and a greater total of teaching hours in the research universities academics' workload (Azman et al., 2014b). As such, to be fair, their academics must be given additional rewards for promotion (e.g. in the form of extra allowance or research grants). This needs to be negotiated to ensure equal pay for work of equal value, especially considering the single national pay scale for academics in Malaysia.

6.5 Lack of Transparency in the Promotion Process

The process of academic promotion is neither transparent nor very democratic. According to Lee (2004), the process of promotion begins with applicants submitting their curriculum vitae. After their applications are reviewed by a university committee, they are interviewed by a panel including the dean. The curriculum vitae of the short-listed candidates is also assessed by external assessors whose evaluations are taken into consideration by the university's authorities to determine whether to promote the candidate. The assessment for promotion is generally based on certain expectations of the tasks and responsibilities of the academic. However, fulfilment of these expectations does not guarantee promotion because these assessments are linked to varying and sometimes non-transparent promotion processes, criteria, and weighting. Indeed, the general perception is that

the process of promotion is neither transparent nor very democratic (Noornina et al., 2010; Azman et al., 2012a).

Most Malaysian public universities have formal policies and procedures for their promotion exercises. Nevertheless, there tends to be a great deal of subjectivity in how these are interpreted by academics and the administration. In other words, there is always room for bias and subjectivity. In many instances, there are no prescriptive standards for an institution's decision-making rights in granting promotion (Noornina et al., 2010). Thus, not only do promotion policies and procedures differ from institution to institution, but there may be a great deal of variation in how each department or unit within a given institution practices and applies these policies (Azman et al., 2012a; Baez and Centra, 1995). In addition, academics also reported being given conflicting information regarding the promotion and review process and being subjected to unwritten rules about the process (Azman et al., 2013).

Admittedly, a challenge for every promotion committee is to make value judgments concerning what constitutes evidence, as well as the quantity and quality of evidence produced by peers. Each member of the committee brings his/her values and assumptions to the table, often generating passionate discussions on who is worthy of promotion. Decisions based on a purely subjective assessment of applications may not do justice to either the applicants or the needs of the institution. From our observations, in many instances, promotion committees have reported that they have often struggled to achieve consensus regarding the kinds of evidence evaluated and the level of evidence that represents professorial work.

Given this, the critical importance of objective, transparent, defensible, and justifiable criteria for promotion cannot be overemphasized. Much has been written about this, yet those in the position to evaluate, judge, and eventually bring the process to its conclusion often lack awareness and sensitivity to its nature and implications. Granting or denying promotion is indeed a fine line to tread for the administrators and peers, because with promotion often comes a problem of complacency and reduced motivation to produce more quality work. Conversely, denying promotion can result in the movement of academics to a university which has less stringent criteria.

6.6 Academic Corruption

The reality of “publish or perish” in most academic fields is undoubtedly beginning to cause a number of problems. A noticeable effect is the misconduct of academic activities. Generally, the most significant reason behind academic misconduct is the pressure to get promoted. Mohrman et al. (2011), for instance, maintains that there is a major connection between current instances of misconduct in scientific research and the evaluation of academics. Liu (2008) believes that the then current academic promotion policy was the fundamental reason for academic corruption in China. In Malaysia, Azman et al. (2012a) stated that the quantification of performance indicators and criteria in evaluating and promoting academics is regarded as the key element affecting the healthy development of academic culture in Malaysia.

Thus, Malaysia academics’ issues involving plagiarism and fabrication of data must be understood in the context of a ruthless culture of “publish or perish” and the KPI system that punishes those who do not meet its quantity standards. The abundance of low quality books and low quality journal publications are also related to the stress that faculty members are under to come up with large numbers of publications if they want to meet their KPIs and eventually be promoted. Some, therefore, resort to unethical ways to beat the system in their bid for promotion. Another unethical behaviour commonly reported relates to undeserved authorship credit due to the pressure to publish. Many academics have been found to put many names in their publication, and some supervisors demand that their students put their name as the main author to fulfil the promotion criteria for a first author publication.

It is argued that although the pressure to publish may have caused this unethical behaviour, Malaysian culture may also have exacerbated it. As noted by Hofstede (1984), the power distance index for Malaysia was the highest among all the countries he studied. Power distance is the willingness of a society to accept inequality and unequal treatment given to different groups of people in the society. In the context of authorship credit, students and junior faculty may confer their supervisors or dean authorship credit in view of the latter’s power and position in the university rather than on the basis of their contribution to the research or publication. In the literature, academic misconduct or academic corruption with research and publication ethics has been

considered to be a primary area of concern (Kuhlmann, 2014; Brimble and Clark, 2005; Teodorescu and Andrei, 2009). In actuality, academic misconduct related to research and publication seems to have become an even more pervasive problem in Malaysian universities. We suggest that many academics and administrators have encountered or witnessed the frequency of blatant and deliberate misconduct or outright dishonesty by academics, particularly in their publications. Sadly, in many cases, nothing has been done by the university authorities or the ministry and worst still the alleged guilty party has been promoted rapidly in the university system.

The issue of academic misconduct is rather complex and it usually raises more questions than answers. It is fair to make a claim that in the context of Malaysian academics their desperate desire to preserve and enhance their rank (which equals income) may be exacerbated by the current eagerness of the Malaysian middle class, to which faculty members belong to, to join the upper middle class society and have access to prestige and material improvements in their lifestyles. On the other hand, is it fair to ask academics to sacrifice their comfortable standards of living as professors in order to maintain a focus on producing serious and quality academic work? Or is it the auditing and KPI culture that have been responsible for creating an environment that encourages opportunistic behaviour which has led to a disheartened and exploited workforce? Whatever the reasons are, many have claimed that the academic promotion system is the key reason for academics' misconduct, which to a certain extent has led to a de-professionalization of academics (Brimble and Clarke, 2005). In addition, it has also led to the loss of trust within the academic community, where the original emphasis had been on respect and giving rewards and promotions to academic scholars with outstanding academic work and high academic integrity (Caldwell, 2009). The literature concludes that academics should develop their own personal understanding of what is ethical versus unethical behaviour in their profession (Azman et al., 2010; Teodorescu and Andrei, 2009).

In an article entitled "The Question of Corruption in Academe", Altbach (2004) explores the numerous examples of misconduct in higher education. He states that the academic community must understand that there will be no true university without integrity and meritocracy. In essence, he purports that the academic profession is at fault for allowing academic corruption to become "widespread

and tacitly accepted”, with few questions being asked and sporadic penalties for detection. Altbach (2001, 2004, 2012) also points out that increase public awareness of these issues will eventually damage the credibility of all higher education systems. In an era of national and international rankings, universities must be vigilant in protecting their institution’s reputation and credibility because any suggestion of academic misconduct brings unwanted and unnecessary scrutiny to the institution. This, in turn, will provoke stakeholders, governing bodies and the public to ask questions about the institution’s values and the credibility of administration and faculty to promote the university mission and vision. Malaysian universities need to place more emphasis and resources on enhancing the academic integrity of their faculty.

6.7 Defining and Evaluating Excellence

Some exceptionally challenging aspects of the promotion processes are the definition and attainment of excellence itself. If the definition of excellence is unclear, the expected level of accomplishment too low, too high, or inequitable, and/or the evaluation process too subjective, the processes of appointment and promotion can lose credibility and fail to achieve their intended goals (Nir and Levy, 2006; Hardre and Cox, 2009). This issue of what counts as excellence remains unclear especially when members of the promotion committee are not clear about the concept and features of excellence, or have not experienced the culture of excellence in their own academic work.

To maintain and enhance the academic’s prestige, promotion in each promotion track (teaching or research track) must demand evidence of scholarly work and excellence. For example, promotion for teaching-oriented professors should require them to be able to show evidence of research in aspects of teaching and how they integrate new ideas in research into their teaching and supervision activities. Scholarship in teaching and learning usually, in more traditional forms of research, is necessary to the development of scholarly teaching. As argued by many scholars, a teaching scholar must show evidence of teaching that focuses on students’ learning and is well-grounded in the sources and resources appropriate to the field (Hutchings and Shulman, 1999; Boyer, 1990; O’Meara 2002, 2005). Thus, publication for a teaching-oriented professor is mandatory, for example, in the form of new textbook, analysis of teaching methods, and so on. In other words, the teaching professor must be actively involved in

research and publication in the teaching of his/her area. As argued by Henkel (2004), students benefit more by being taught by leading edge researchers than by mere teachers or educators, as research in the area arguably demonstrates that excellence in research leads to excellence in teaching. The bottom line is that Malaysian public universities must demand evidence of both national and international excellence in their promotion process.

It is time that public universities in Malaysia consider how excellence in promotion criteria is defined, how consistent those definitions are across universities and disciplines, and what messages university performance standards send to the candidates for promotion. With regard to the way that the quantity and quality elements are taken into consideration in the promotion process, the 'more is better' message, as specified in the promotion documents of research universities, may lead to quantity-focused performance goals and high quantity but low quality productivity (Hardre and Cox, 2009; Fairweather, 2002). Though this may result in apparent quick achievements, in the long term it may result in less impressive development of true experts. Thus, public universities should address this issue by developing specifications that indicate the importance of quality and excellence over numbers of research, publications and presentations, and so on. Procedures must be streamlined and they should be transparent and accountable. In addition, the criteria should be expressed in clear quantitative and qualitative terms.

Finally, it should be noted that although the evaluation of academic excellence can be a troublesome process for candidates bidding for promotion, promotion committees, mentors, deans, and vice-chancellors, it can also be an opportunity to affirm and communicate core academic values and obtain evidence of and, thereby, celebrate excellent accomplishments (Davis, 2007; Nicholls, 2004; Nir and Levy; 2006, Azman et al, 2010). After all, a university is concerned with pursuing excellence. Thus, wise decisions in the promotion of academics are essential to maintain and enhance a university's prestige, especially when the status and salary is similar. Academic promotion practices based on excellence can mean losing an academic to another neighbouring institution. On the other hand, granting promotion to an academic who does not measure up to expectations is a costly mistake, the dire consequences of which the Malaysian universities might well be unable to correct for a very long time.

IMPACTS OF ACADEMIC PROMOTION MECHANISMS

7.1 Quality of Institution

As a platform to move forward, The National Higher Education Action Plan 2007-2010 was launched to promote long-term objectives of human capital development contained in the National Higher Education Strategic Plan. The ultimate aim is to empower Malaysian higher education in order to meet the nation's developmental needs and to build its stature both at home and internationally. Seven strategic thrusts have been outlined (Ministry of Higher Education of Malaysia, 2007):

- a. Widening access and enhancing equity
- b. Improving the quality of teaching and learning
- c. Enhancing research and innovation
- d. Strengthening institutions of higher education
- e. Intensifying internalization
- f. Enculturation of lifelong learning
- g. Reinforcing the Higher Education Ministry's delivery system

Universities in Malaysia, in general, have different academic promotion practices. Thus, it is not uncommon to hear of individuals from research universities who have published extensively yet are not promoted to a higher rank. On the other hand, it is not uncommon to have individuals in other types of universities who have not published extensively, but are promoted early in their careers. As a result, this has raised questions pertaining to the quality of the universities. This is obvious because

the quality of the academic staff in the universities reflect the quality of the universities.

Would it be good to have salary differentiation between institutions? The fact that an associate professor in University A has the same salary as an associate professor in University B, although the criteria used may vary remarkably, can lead to dissatisfaction. Competition between universities for excellent faculties should be encouraged, but there is a need to devise a mechanism where mobility is about excellence, not positions or numbers. To gain quality academics – promotion must be reflected by meeting expectations and the institution's reputation. This is to ensure that the aims of the National Higher Education Strategic Plan can be achieved. In short, promotion practices of academics in the universities must be able to motivate academics to strengthen research and knowledge capacity production which in the long run will help to enhance the quality of the universities in the country in terms of not only research but also teaching and service to the community.

7.2 Balancing the roles of the academics

Practices of academic promotion in universities can send either messages in support of the institution's mission and goals, or messages that undermine them. These messages can influence academic staff thinking in carrying out their duties as academics. Moreover, the practices of academic promotion tend to communicate explicitly, or implicitly, messages that may conflict with the universities intentions and values (Hardré and Cox, 2009). In the Hardre and Cox (2009) study, it was found that twenty-three research universities in the USA gave priority towards research. In other words, teaching and service were not given primary roles for the faculty performance evaluations. Similarly, this same signal has been received by the academics in Malaysian universities, and this is not only among those in research universities but also to those in other types of universities. Thus, in spite of having criteria for teaching and service as part of their promotion criteria in the universities, there seems to be an imbalance in the relative value of research, teaching and service. Malaysian academics have always been thinking that they should give more attention to research rather than teaching and service in order to be promoted. This results in a weaker commitment to teaching and can have a negative influence on the quality of educational programmes. Ideally, academics should achieve excellence in all areas of their role. Universities, therefore, need

to reward and promote academics' creativity, commitment and critical analysis in all these areas. And, their time spent undertaking all these activities must be acknowledged (Marsh and Hattie, 2002).

7.3 Work culture of academics

According to Jones et al. (2005), the university today is no longer an institution that preserves knowledge, but is one that generates it. This is also true in the context of universities in Malaysia where more priority is given towards research rather than teaching. Consequently, academics are promoted primarily because of their research activities and not so much on other activities, including teaching. Perhaps, this is because it is much easier to measure research output than teaching performance. So, in promotion exercises of academics in Malaysia, the focus tends to be on the number of research grants and publications, not on teaching. The more numbers one has in terms of publications in high impact journals, the better chance one has to be promoted. In other words, because of the academics' perceptions on promotion criteria, their work focuses more on what counts for their promotion.

7.4 Change in teacher-student relationship

According to Micari and Pazos (2012), academics' interactions with students, especially academic interactions, have a positive effect on students' success. However, academics in Malaysian universities tend to spend less time on students because of their motivation to get promoted is based more on their research output. This basically has to do with academics' perceptions of what counts for promotion, and this influences their activities especially for academics seeking promotion. Malaysian academics tend to believe that excellence in teaching would not help one's promotion. As a result, they tend not to focus or spend their time on teaching and their students would be left on their own with little assistance from the academics. Thus, their relationship with students in the universities especially in the research universities that place more emphasis on research for promotion tend to be formal and not on one-to-one basis. Their interactions with students are limited to class time.

7.5 Leadership and mentoring roles of professors

Mentoring can be defined as the process whereby an individual has regular dialogue and advice from an experienced member of an organization on issues relating to the individual's job and career development (Matthews, 2003). Messmer (2000) advocates mentors should be those who have a positive attitude toward their work, are able to encourage enthusiasm, have experience in the area of interest of their mentees and have strong leadership qualities. Thus, mentoring can contribute to the individual's personal growth and professional development. Academics with the rank of professor should be in a position to be good mentors. With the current scenario of academic promotion, this arrangement of having professors as mentors should be in place to ensure that the university will be able to retain them and prepare them for their career as academics in universities. This is crucial, especially since the culture of publish or perish has been widely accepted in the universities and, thus, has created a lot of stress and tension among academics. In short, there is a need to increase efforts to encourage junior academics to maintain their interests and energies through a mentoring programme provided by professors in the universities. And, we must bear in mind that the mentoring of junior academics should not be limited to research alone, but should also be in all aspects of academic life. Unfortunately, at this time there is no formal mentoring programme in Malaysian universities.

7.6 Talent as investment

Academic promotion must be part of an institution's strategic planning for its talent management programme. The development and direction of higher education in Malaysia has been greatly influenced by the economic progress and development of the country and, hence, for the human capital development of the country. As a result, the government has provided a large amount of annual budget for education. This is to ensure that enough financial support is given to the education sector for the human resource development. However, the academic promotion mechanisms seem unable to stop academics from leaving for the private sector. This is especially true for those in the medical and engineering fields because the rewards and incentives are much better in the private sector. Surely, something needs to be done so that talented academics

who have been developed for the universities will continue to give their services and commitments to the universities. In some cases, the universities have invested more than a million Malaysian Ringgit on those who have just returned from overseas for their postgraduate studies. It is incumbent on the universities to do whatever is necessary to retain them as academic staff.

7.7 Brain drain among academics

Some lecturers in medical school at USM, for example, have left for private medical schools and hospitals because of their more attractive pay scheme and lighter workload compared to the university (The Star Online, 2014). This is also true in many other medical schools in the country where the exodus of academics to the private sector is growing. This phenomenon seems inevitable because the public universities like USM have several stages to follow to reward their faculty, and the process of promotion for academics may take more than a year before the results are known. The establishment of new private medical schools in the country also creates a strain on the existing medical schools because the new medical schools require experienced medical staff that they draw from the established schools. This only worsens the staff problems in the established medical schools and does not solve the shortage of academics in the new medical schools (Mohamed, 2003).

CONCLUSION

IN CONCLUSION, academic promotion has changed tremendously over the years based on the need to strengthen institutions. Significant improvements in the philosophy of the promotion exercise, the criteria, and the mechanisms will ensure that the institutions will be uplifted to the next level in the highly competitive global higher education ecosystem. The entire process for application and approval has become more transparent. Academics are now able to tell whether they are due for any promotion and, thus, can strategize well for their promotion applications. We are seeing staff being promoted to professor at a much younger age than before since there has never been a quota set for promotion; it is entirely based on merit. Obviously, in any system, there are bound to be strengths and weaknesses and the institutions and the Ministry of Education are handling the issues and challenges that may arise amicably.

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**ACADEMIC PROMOTION
OF HIGHER EDUCATION
TEACHING PERSONNEL
IN THE PHILIPPINES**

Ethel Agnes P. Valenzuela

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CONTEXT AND BACKGROUND

“The State shall give priority to education, science and technology, arts, culture, and sports to foster patriotism and nationalism, accelerate social progress, and promote total human liberation and development.”

—Article II, Section 17
“1987 Constitution of the
Republic of the Philippines”

1.1 Context

The Republic of the Philippines is a democratic country in Southeast Asia located in the Western Pacific Ocean. It has a population of about 100 million and is considered the seventh most populous country in Asia.

The Philippines has one of the oldest systems of higher education in Asia. Its first higher education institution (HEI) was established more than 400 years ago. It has been the policy of the country to “establish, maintain, and support a complete, adequate, and integrated system of education relevant to the needs of its people and the society.” (Article XIV, Section 2, The Constitution of the Republic of the Philippines, 1987).

Higher education is considered a core value in Philippine society and family life. As such, Filipinos believe that a college degree is the best gift any parent can give to a child. Higher education aims to enable Filipinos to become useful, productive, globally competitive, and gainfully employed members of the society. It also aims to assist each individual in developing his/her potential and enhancing his/her sense of national identity, moral integrity, and spiritual vigor.

The Commission on Higher Education (CHED) is the governing body covering both public and private HEIs. Its creation in 1994 was a response to the tri-focalization of education management brought about by a national education reform agenda more popularly known as the “EDCOM Report of 1991”. CHED recognizes the complementary roles of public and private HEIs in delivering quality, effective, efficient, and relevant degree programmes and exercises via the reasonable supervision and regulation of all HEIs.

At present, 1,934 HEIs in the Philippines are classified into public and private institutions, 228 or twelve percent of which are State Universities or Colleges, local universities or colleges and Other Government HEIs.

State universities or colleges are established by law and financially subsidized by the government. The highest policy-making body of a state university is the board of regents and a state college is the board of trustees, both of which are headed by the CHED chairperson.

Local universities or colleges are established and funded by local government units through resolutions or ordinances. There are also Other Government HEIs, which are often non-chartered, public, post-secondary educational institutions established by law and administered, supervised, and financially supported by the government.

The Philippines also has special higher education institutions that are publicly funded and offer higher education programmes related to public service. Special HEIs are operated and controlled in accordance with the special law that created them. They provide special academic, research, and technical assistance programmes pursuant to their basic mandates.

HEIs classified as “other government schools” are considered public secondary and post-secondary technical-vocational educational institutions that offer higher education courses.

The Philippines has a huge number of private HEIs, which account for eighty-eight percent of the higher education system. A total of 1,706 private HEIs were established under the “Corporation Code of the Philippines” and are governed by its special laws and general provisions. Private HEIs are classified into sectarian and nonsectarian institutions.

Sectarian private HEIs are usually non-stock, nonprofit, duly incorporated, owned, and operated by a religious organization, while

nonsectarian private HEIs are duly incorporated, owned, and operated by private entities that are not affiliated with any religious organization.

The total higher education enrolment in the Philippines in 2015–2016 was 4.10 million. Among them, 2.21 million were enrolled in sectarian and nonsectarian private HEIs, while 1.8 million were enrolled in state universities or colleges. Overall, these institutions served approximately forty-one percent of the total number of higher education students in the country.

There are approximately 152,688 academic teaching personnel in public and private universities and colleges in the country. Among them, 61,294 or almost forty percent work for public HEIs while 91,394 or more than sixty-five percent work in the private sector (CHED, 2016). See Table 1.

Table 1: Number of Faculty by Sector and Highest Educational Attainment, 2011–2012

Institutional Type	BS/BA	MS/MA	PhD	Grand Total
State universities and colleges	25,838	20,210	7,522	53,570
Local universities and colleges	3,856	2,796	762	7,414
Other government schools	192	88	30	310
Private HEIs	41,509	38,831	11,054	91,394
Grand Total	71,395	61,925	19,368	152,688

Source: CHED MIS, 2016

1.2 Background on Qualifications of Academic Teaching Personnel

As a general rule, CHED requires HEIs to hire academic teaching personnel with expert knowledge and specialized skills acquired and maintained through rigorous and lifelong study and research.

For state-funded HEIs, a national law on academic promotion, ranking, and salary scale was issued under the National Budget Circular 461. This was issued to establish and prescribe rules and regulations governing the implementation of the “Revised Compensation and Position Classification Plan” for faculty positions in state universities or colleges, HEIs, and teacher education institutes in accordance with the modified common criteria for evaluation for faculty positions. It also

applies to all faculty positions in state universities or colleges, HEIs, and teacher education institutes, including teaching positions in secondary and elementary schools that continue to be covered by the “Teachers Preparation Pay Schedule” of the Department of Education.

In support of quality higher education, CHED requires that academic teaching personnel at the higher education level must have at least a master’s degree in the field in which they teach.

In 2008, CHED developed a manual of regulations for private HEIs. Section 35, Article VIII of the “Manual of Regulations of Private Higher Education” states that the minimum higher education faculty qualifications shall be as follows:

1. For undergraduate programmes:

A holder of a master’s degree to mainly teach in his/her major filed and, where applicable, a holder of an appropriate license requiring at least a bachelor’s degree in a professional course. However, in specific fields where there is a dearth of holders of master’s degrees, a holder of a professional license requiring at least a bachelor’s degree may be qualified to teach. Any deviation from this requirement will be subject to regulation by CHED.

2. For graduate programmes:

- a. **For master’s programmes:** Must have at least one full-time faculty member who holds a doctoral degree and at least three who hold a master’s degree in the discipline.
- b. **For doctoral programmes:** Holds a doctoral degree and at least three full-time faculty who have published research works in refereed journals in the discipline.

1.3 National Policy Objectives and Their Impact on Academic Promotion

Current Philippine higher education reforms are linked to the Philippine Development Plan, 2011–2016, which states that the higher education system aims to maximize system contributions toward developing competent and high-level human resources, and generating knowledge and technologies needed for advancing the country’s national development and competitiveness.

Moreover, the higher education reform agenda is bent on attaining two goals—placing higher education and institutions in full service of national development as well as expanding and enhancing career and life chances, and choices for students. It aims to:

1. Rationalize higher education and improve its internal and external efficiency by optimizing resource utilization and maximizing resource generation;
2. Improve higher education quality and standards of higher education, raise the level of educational outcomes and increase the social relevance of its developmental functions; and
3. Expand access of lower-income and disadvantaged groups to quality higher education.

State universities or colleges adhere to the “Roadmap for Higher Education Reform,” which reflects the vision and directions of the Higher Education Reform Agenda. This roadmap covers a six-year period, 2011–2016. It lays out initiatives and performance measures as well as significant milestones to achieve in order to realize necessary reforms.

The roadmap has nine public strategic initiatives linked to improving the quality and efficiency of, and access to, higher education in the Philippines, namely:

1. Rationalizing the number, distribution, and growth of state universities or colleges, and local universities or colleges;
2. Rationalizing programme offerings from state universities or colleges;
3. Rationalizing resource utilization and maximizing their resource generation;
4. Strengthening quality assurance;
5. Upgrading the quality of faculties;
6. Upgrading the quality of state universities or colleges to meet international standards;
7. Modernizing the facilities of developing state universities or colleges;
8. Strengthening student financial assistance programmes; and

9. Strengthening public HEI management through executive development.

The Higher Education Reform Agenda aims to upgrade the quality of public higher education by supporting quality improvement initiatives such as strengthening quality assurance in state universities or colleges and local universities or colleges, improving the quality of teaching through faculty development, and upgrading institutions to meet international standards. CHED believes that one of the causes of poor higher education quality is inadequate teacher preparation. Thus, it is part of the plan to upgrade the qualifications of college faculty through faculty development scholarship programmes. Such programmes should enable faculty members to obtain master's or doctoral degrees in priority fields such as natural sciences, mathematics, engineering, IT, and social sciences, and/or the availability of continuing professional education programmes.

Aside from the Higher Education Reform Agenda, there are also a number of national laws and issuances that affect academic promotion, including:

1. **“Republic Act (RA) No. 7722” or the “Higher Education Act of 1994”**: stipulates that the state shall protect, foster, and promote the right of all citizens to affordable quality education at all levels and take appropriate steps to ensure that education will be accessible to all. It also declares that state-supported institutions of higher learning shall gear their programmes to national, regional, or local development plans. Finally, all institutions of higher learning shall exemplify through their physical and natural surroundings the dignity and beauty of, as well as their pride in, the intellectual and scholarly life.
2. **“RA No. 8292” or the “Higher Education Modernization Act of 1997”**: stipulates that governing boards shall promulgate and implement policies in accordance with declared state policies on education and other pertinent provisions of the “Philippine Constitution” on education, science and technology, arts, culture, and sports, as well as the policies, standards, and thrusts of CHED under “RA No. 7722.”
3. **“NBC 461”**: is a revised and updated version of “NBC 69,” which was exclusive for faculty positions in state universities or colleges. It sets the latest guidelines in the promotion and salary

standardization of faculty and administrators in state universities or colleges and CHED-supervised institutions, including the Technical Education and Skills Development Authority (TESDA). It embodies qualitative contribution evaluations for state universities or colleges designed as an effective motivator for developing a culture of excellence in instruction, research, extension, and production. Qualitative contribution evaluation offers a reliable means to measure faculty rankings in public tertiary institutions.

4. **“Presidential Decree (PD) No. 985” or the “PCCSFP”** (Position Classification and Compensation Scheme for Faculty Positions): rationalizes the academic ranks, salaries, and advancement of faculty members in state universities or colleges that became apparent due to the application of varied faculty evaluation instruments.
5. **“RA No. 7877” or “An Act Declaring Sexual Harassment Unlawful in the Employment, Education, or Training Environment and for Other Purposes, Also Known as the Anti-sexual Harassment Act of 1995”**: espouses the value placed by the country on the dignity of every individual; enhances the development of its human resources; guarantees full respect for human rights; and upholds the dignity of workers, employees, applicants for employment, students, and those undergoing training, instruction, or education. In support of these values, all forms of sexual harassment in the employment, education, or training environment are declared unlawful.
6. **“RA No. 7875” or the “National Health Insurance Programme”**: mandates PhilHealth, a government-owned and controlled corporation, to provide health insurance coverage and ensure affordable, acceptable, available, and accessible health care services to all citizens of the Philippines.

1.4 Major Milestones and Developments in Academic Promotion

Prior to 1994, state universities or colleges followed their individual charters and guidelines in terms of recruiting, selecting, and promoting higher education teaching personnel. Upon the creation of CHED in 1994, all public and private HEIs are under its oversight. At present, the CHED chairman heads the boards of all SUCs in the country by virtue

of the “Higher Education Modernization Act of 1996”. Educational institutions in the private sector, meanwhile, are governed by CHED and so should seek its approval for every course they offer. Landmark policies on academic promotion are also contained in two important documents, namely:

1. “Manual of Regulations for Private Higher Education of 2008” for the public sector; and
2. “NBC 461,” (which embodies the Common Criteria for Evaluation for state universities or colleges).

All private HEIs follow the guidelines in CHED’s “Manual of Regulations for Private Higher Education of 2008”. State universities or colleges follow “NBC 461”. These documents form the basis of institutional policies on recruitment, appointment, promotion, and advancement for HEIs in the country.

At present, state universities or colleges adhere to Position Classification and Compensation Scheme for Faculty Positions, which mandates the use of the Common Criteria for Evaluation as the basis for recruiting, classifying, and promoting faculty members. The criteria also establish the relative performance of a faculty member in an institution during an evaluation by applying a point system to determine faculty members’ ranks and sub-ranks.

The Qualitative Contribution Evaluation is used as the basis when promoting a faculty member to a higher rank. It measures the candidate’s continuous improvement in four functional areas— instruction, research, extension, and production.

NATIONAL SYSTEM OF ACADEMIC PROMOTION IN STATE UNIVERSITIES AND COLLEGES

2.1 Practices on Promoting Academic Teaching Personnel

The Philippines implements a national policy on academic hiring, position classification, and compensation schemes for faculty positions that cover all teaching positions involved in instruction, research, and extension activities in all State Universities and Colleges and Other Government Higher Education Institutions, and TESDA-supervised teacher education institutes. A centralized system thus governs academic promotion in the higher education sector. All state-funded universities and colleges follow this scheme, regardless of size. Pursuant to NBC 461, state universities or colleges have adapted common criteria for hiring, ranking, and promoting staff, focusing on the following areas:

1. **Instruction:** Teaching delivery effectiveness that eventually results in academic excellence. The teaching effectiveness of faculty members is evaluated using assessment areas, including commitment, knowledge of the subject matter, teaching for independent learning, and management of learning.
2. **Research:** Scientific investigation duly approved by a university or college authority and evaluated using four assessment areas, namely, clientele satisfaction, leadership, partnership development, and community responsibility.
3. **Extension:** Activities, projects, or programmes conducted by faculty members, including technological verification; packaging, managing, or facilitating non-formal or non-degree training;

consultancy and speakership in training seminars, symposia, or convocations; community development activities; people empowerment or capability-building; radio programmes; and development, publication, or dissemination of manuals, brochures, pamphlets, leaflets, technological guides, and newsletters focusing on assessment areas such as clientele satisfaction, leadership, partnership development, and community responsibility.

4. **Production:** Activities related to producing goods and services that support the programmes of colleges, universities, or institutions focusing on assessment areas such as clientele satisfaction, leadership, partnership development, and community responsibility.

State universities or colleges adhere to the common criteria for evaluation and Position Classification and Compensation Scheme for Faculty Positions.

2.2 The Common Criteria for Evaluation for State Universities and Colleges

As part of the Position Classification and Compensation Scheme for Faculty Positions, common criteria were established for state universities or colleges to follow. The criteria should be the primary basis for recruiting, classifying, and promoting faculty members. It is a set of factors consisting of services and achievements that establish the relative performance of a faculty member in the institution during the period of evaluation by applying a point system to determine faculty members' ranks and sub-ranks. A new set of common criteria was recently developed by CHED and the Philippine Association of State Universities and Colleges that places more emphasis on advancement and performance rather than educational qualifications.

To implement a standardized Position Classification and Compensation Scheme for Faculty Positions, it is imperative for all faculty members to pass through common criteria for evaluation that can distinguish their ranks within their institution, across institutions, and across disciplines and fields.

The common criteria aim to:

1. Standardize faculty members' ranks across institutions;

2. Rationalize salary rates appropriate to faculty ranks;
3. Have an instrument for generating faculty profiles;
4. Serve as the basis for policy decisions with regard to accelerated faculty development; and
5. Motivate faculty members to upgrade their rank and compensation by improving their academic qualifications, achievements, and performance.

In addition to the criteria, promotion to a higher rank and/or sub-rank, such as instructor, assistant professor, and associate professor, is subject to qualitative contribution evaluation.

Faculty members from state universities or colleges are generally ranked according to the point allocation developed by the Philippine government. There are four major ranks starting from instructor to assistant professor to associate professor and to full professor. Every college or university accords the highest rank—professor—to the most deserving and meritorious people rendering services to the university and the country. The point allocations for each academic sub-rank and their corresponding salary grades are shown in Table 2.

Table 2: Point Allocations and SGs of Academic Personnel in state universities or colleges

Faculty Rank	Minimum Qualification	Sub-rank	SG	Point Bracket
Instructor	Master's degree	I	12	65 and below
		II	13	66–76
		III	14	77–87
Assistant Professor	Master's degree	I	15	88–96
		II	16	97–105
		III	17	106–114
		IV	18	115–123
Associate Professor	Master's degree	I	19	124–130
		II	20	131–137
		III	21	138–144
		IV	22	145–151
		V	23	152–158

Faculty Rank	Minimum Qualification	Sub-rank	SG	Point Bracket
Professor	Doctoral degree	I	24	159–164
		II	25	165–170
		III	26	171–176
		IV	27	177–182
		V	28	183–188
		VI	29	189–194
College or University Professor	Doctoral degree	Not applicable	29	195–197
University Professor	Doctoral degree	Not applicable	30	198–200

Source: “NBC 461”

2.3 Qualitative Contribution Evaluation

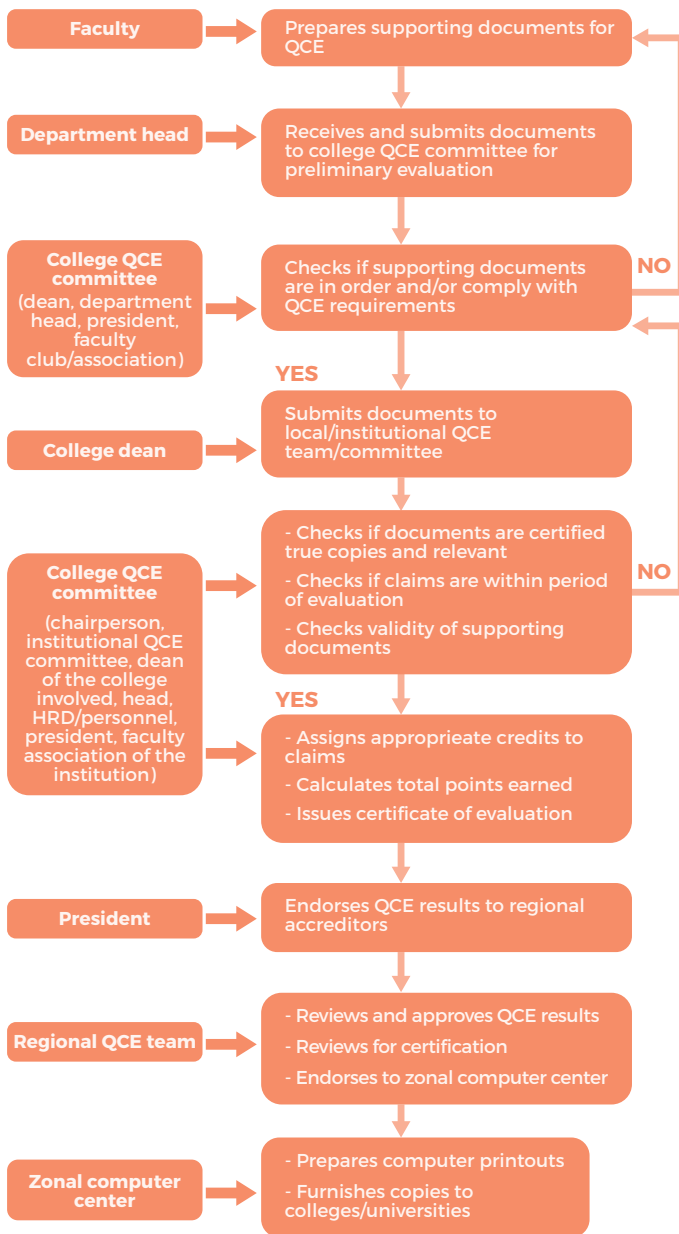
In addition to the common criteria, promoting faculty members to higher ranks and sub-ranks is subject to Qualitative Contribution Evaluation. The evaluation is the process of determining the eligibility of a faculty member for a particular rank and sub-rank indicated by the common criteria. Qualitative contribution refers to the continuous improvement to achieve excellence in all four functional areas of any institution—instruction, research, extension, and production. A sample Qualitative Contribution Evaluation process is shown in Figure 1.

The Qualitative Contribution Evaluation rating is based on the following:

1. Those seeking promotion to a higher sub-rank, such as instructor or assistant professor, should focus on teaching effectiveness.
2. Those seeking promotion to associate professor should focus on any two functional areas prior to their assessment year.
3. Those seeking promotion to full professor should focus on any three functional areas prior to their assessment year.
4. For the qualitative contribution of instructors and assistant professors, a common evaluation instrument will be prepared by a joint committee comprising CHED, Philippine Association of State Universities and Colleges, and TESDA. Evaluations will be done by the concerned faculty member, his/her peers, his/her supervisor, and his/her student beneficiaries.

5. For the qualitative contribution of associate professors and professors, a common evaluation instrument will be prepared by a joint committee comprising CHED and Philippine Association of State Universities and Colleges. Evaluations will be done by the candidate's clients, direct supervisor, stakeholders for completed projects, and his/her external and internal communities.
6. Apart from the common criteria for evaluation, an accreditation or a screening process is also done to validate the eligibility of a faculty candidate for associate or full professor status. The process involves written exams and interviews, particularly on substantive issues or questions related to the candidate's field of specialization or discipline.

Figure 1: Functional Chart for Qualitative Contribution Evaluation



Source: Revised Implementing Guidelines for the Qualitative Contribution Evaluation of the NBC 461, 2006

2.4 Determining the Appropriate Faculty Rank and Salary

A faculty member assigned to a sub-rank higher than his/her present rank, or who has been subsequently promoted through presidential discretion, shall be given the rank and salary corresponding to that higher rank. In the initial implementation of NBC 461, a faculty member assigned to a sub-rank lower than his/her present rank, based on the CCE and QCE, shall retain his/her present rank and salary.

2.5 Appointment to Ranks below the Professor Level

Instructor I is an entry-level post requiring a total of sixty-five or less evaluation points. Appointment to the ranks of Instructor II to Assistant Professor IV is subject to the following requirements:

1. At least sixty-six evaluation points are required for a higher sub-rank of the instructor post, and at least eighty-eight points for assistant professor.
2. For the professor post, the candidate must earn a master's degree to be promoted to assistant professor II–IV. He/she should focus on instruction or teaching effectiveness.

Appointment as associate professor is subject to the following requirements:

1. At least one hundred twenty-four evaluation points;
2. Master's degree;
3. Qualitative contribution in at least two of the four functional areas; and
4. Accreditation by a committee of experts from the Philippine Association of State Universities and Colleges for candidates entering the associate professor rank for the first time in the case of those from HEIs and teacher education institutes.

2.6 Appointment to the Professor Rank

Most universities have very limited slots for professors. As such, a comprehensive set of criteria for becoming a full professor is used.

The following are the minimum requirements for appointment as full professor:

1. **Education:** A relevant doctoral academic degree from a college or university of recognized standing either locally or abroad. However, in highly meritorious and extremely exceptional cases, as in areas of specialization or fields of discipline where there is a dearth of doctoral programmes or they are not readily available at all, the requirement of a doctoral degree may be waived.
2. **Productivity:** Significant outputs, contributions, and applications and/or use of research results in commercial or industrial projects in relevant fields of applied and natural sciences, including the following:
 - a. Scientific articles in publications of international circulation and other works of a similar nature;
 - b. Discoveries, inventions, and other significant original contributions;
 - c. Books, monographs, compendiums, and major bodies of published works;
 - d. Transformation of research recommendations to public policies that benefit the country's training of science graduates, or significant contributions to manpower development and/or science and technology, and practical application of research results in industrial or commercial projects or undertakings; and
 - e. Other criteria that the accreditation committee may require, as warranted by new developments in science and technology.
3. **Professional standing:** Level of acceptance and recognition in the academic community in terms of professional, moral, and ethical integrity.

Apart from the above-mentioned requirements, promotion to full professor status is also subject to the following:

1. At least one hundred fifty-nine evaluation points;
2. Doctoral degree; in the case of professors IV–VI where a doctorate is not normally part of career preparation or doctoral programmes are rare, as determined by CHED, the doctoral requirement may

be waived provided that the candidate has an appropriate master's degree and has earned twenty evaluation points in the following areas:

- a. Books, monographs, compendiums, and major bodies of published works;
- b. Scientific articles in publications of international circulation and other works of a similar nature;
- c. Discoveries, inventions, and other significant original contributions;
- d. Research recommendations transformed into public policies that benefit the country;
- e. Supervision, tutoring, or coaching of graduate scientists and technologists;
- f. Research results applied or utilized in industrial and/or commercial projects or undertakings; and
- g. Qualitative contribution in at least three of the four functional areas.

Based on the requirements or criteria, the professor rank is tied to solid research work such as authorship of books and publication of scientific articles. If a faculty member is applying to the professor rank for the first time, he/she will undergo accreditation by a committee of experts from the Philippine Association of State Universities and Colleges.

2.7 Limited Number of Professorial Slots in State Universities and Colleges

According to NBC 461, SUCs have a limited number of professorial slots. This should not exceed twenty percent of the total number of faculty positions in the concerned SUC. As such, candidates who are highly qualified to become a professor in a state universities or college that has already reached its quota will remain an associate professor V until a slot has been vacated or made otherwise available. Filling the vacancy is subject to application by qualified professors from various academic departments.

2.8 Appointment to the College or University Professor Rank

There are similarly strict qualification requirements for appointment to the college or university professor rank. This post is open to deserving faculty members who occupy the professor post, satisfy the qualifications for accreditation, and have been duly accredited by the Philippine Association of State Universities and Colleges Accreditation Committee. It is also open to the presidents and vice-presidents of state universities or colleges or their equivalents who opt to receive the basic salary pertaining to their assigned academic ranks under the common criteria for evaluation, and those who wish to return to teaching due to their resignation or retirement before the expiration of their fixed terms of office provided that they have complied with the requirements prescribed for college or university professors. Likewise, this post is open to the presidents or vice-presidents of state universities or colleges who opt to return to teaching after the expiration of their fixed terms of office. They may be appointed as college or university professors subject to the provisions of NBC 461.

As with any post, a vacancy arising from the retirement or resignation of a faculty member appointed as college or university professor will not be filled until the president or vice-president of a state universities or college appointed as such has retired or resigned from government service.

According to NBC 461, the following are required for appointment to college or university professor:

1. At least one hundred ninety-five evaluation points;
2. Doctoral degree;
3. Professorial accreditation in the case of a faculty member's application;
4. Pass from a screening committee duly constituted by the Philippine Association of State Universities and Colleges; and
5. Qualitative contribution in at least three of the four functional areas.

Although the college or university professor rank is a highly esteemed and desirable position, appointment to it has limitations. The law says

that there is only one position of college professor per college. This means that only one candidate is accorded the rank every six years. The total number of college professors should not exceed the number of authorized colleges and external campuses of the concerned college.

In a university's case, only one university professor is accorded the rank every six years. The total number of university professors should not exceed five percent of the total number of accredited full professors in the concerned university.

Classification of existing college professor positions with salary grade 29 whose incumbents were appointed based on a previous point allocation system shall be coterminous with the incumbents. Hence, the upward movement of incumbents to the college professor position salary grade 29 to salary grade 30 is not automatic. The salary grade of incumbents who were accredited earlier shall remain in salary grade 29 until they qualify as college or university professors based on the point allocation requirements in NBC 461.

2.9 The Screening Process

In order to obtain professor status, all candidates for the college or university professor rank undergo screening by an independent body organized by the Philippine Association of State Universities and Colleges. The following are the mandatory qualifications for accreditation as college or university professor:

1. He/she must be an outstanding scholar and scientist, as evidenced by the quality of his/her publications and research works in his/her principal field of study and allied fields. Or, he/she must have manifested outstanding performance in his/her executive leadership role.
2. He/she must have expert knowledge in one field or division and must be familiar with at least one other subject in another division.
3. He/she must be known for intellectual maturity and objectivity in his/her judgment.
4. He/she must have a high reputation among his/her colleagues and other scholars for his/her mastery of the subject of his/her specialization.
5. Recognition and esteem can be manifested by the following:

- a. His/her contributions to the advancement of his/her field of specialization are recognized by colleagues here and abroad;
- b. He/she has been published in the most respected journals in his/her field of specialization;
- c. His/her works are globally acclaimed and provoke spirited discussions among scholars from various disciplines;
- d. He/she is often invited to other universities and scholarly gatherings for the originality of his/her thoughts; and
- e. He/she is accorded various forms of honors (e.g. awards, chairs, titles etc.).

2.10 Presidential Discretion

The heads of state universities or colleges, HEIs, or teacher education institutes may subsequently grant promotions to faculty members for meritorious performance provided that the aggregate number of sub-ranks involved does not exceed fifteen percent of the total number of current authorized full-time faculty members annually, and such upward movements are limited to the highest sub-rank of the candidate's assigned rank, as indicated in the common criteria for evaluation. Upward movements to the professor rank in state universities or colleges and associate professor rank in HEIs and teacher education institutes are similarly subject to prior evaluation by an accreditation committee, requirements for appointment, and the quota system prescribed for professors in the case of state universities or colleges.

As a matter of policy, evaluations may be undertaken every odd-numbered year for state universities or colleges. And then, in the case of HEIs and teacher education institutes, evaluations may be undertaken every even-numbered year.

2.11 Synthesis

The Philippines enacted national laws and regulations governing academic hiring, promotion, and tenure, including position classifications, ranks, and salary systems. These laws cover all publicly funded HEIs or state universities or colleges.

Some, however, have observed that although the country has national policies governing academic promotion, position classification, and salary schemes, their implementation varies from one state college or university to another. Some universities and colleges form committees to judge the qualifications of peers and faculty members. If decisions seem unfair, a process for appeal can be initiated with the promotion committee.

ISSUES AND CHALLENGES

3.1 Attracting Talent to Increase Research Capacity

Hiring in universities is determined by the needs of departments. Selection is primarily based on credentials. However, for University of the Philippines (UP), which is considered the country's leading university and Philippine Normal University (PNU) as the leading national centre for teacher education, hiring faculty members is of high standards. Faculty to be recruited should be scholars who can integrate teaching, research, and a broad appreciation of extension work into specific contours of their respective fields of discipline.

The highest screening happens during recruitment and promotion of faculty for tenure. In the case of UP, it strictly imposes a requirement for research and refereed journals for the granting of tenure. To support this requirement, faculty members who are seeking tenure try to engage in research or creative works. They ask for research load credits or creative work load credits, which may partially satisfy their required load of twelve units per semester or twenty-four units per academic year. Those who wish to conduct research apart from having a research workload can also be given research or creative work funding, including maintenance and other operating expenses internal to the university. This grant for credits also requires approval of the highest body in the university level.

Lucky faculty may be given research dissemination grants or be invited to present in public research forums or creative work presentations organized by local and international universities and institutes.

Stringent requirements such as having an article with international review and published by an internationally recognized university is non-negotiable.

3.2 Terms and Conditions of Employment

A number of state universities and colleges hire faculty members who are part-timers, both to replace a large number of expected retirees and to teach the growing number of students. Part-time faculty members are also hired when the vacated items for faculty are not yet opened for filling-up due to austerity measures. There are also cases where a faculty member's contract is not renewed due to their inability to publish research articles as lead authors.

Due to the increase in student enrolment, an increased proportion of part-time faculty members have been hired. Many of them are ineligible for tenure and generally have lower salaries compared with tenure-track faculty members.

In most state universities or colleges, only a quarter of the faculty members are full-time employees. Budgetary problems, lack of approved *plantilla* items and enrolment growth may well accentuate this trend. Hiring non-tenured part-time or full-time faculty members increases an institutions' ability to respond to changing student demands and reduce institutional costs. On the other hand, it also creates a two-tier academic labor force. Increasing reliance on part-time, temporary, and adjunct faculty members threatens the tenure system and may harm the overall quality of higher education programmes being offered.

3.3 Security of Employment

NBC 461 assures standardize criteria for hiring, promotion and salary standardization for academic personnel all over the country. Once you enter the public universities and college as permanent academic personnel, you become public servants with specific salary grade and rank and with security of employment.

Once admitted and appointed to a certain academic rank, a faculty member may apply for promotion. Academic promotion is mostly based on merit and performance in the four criteria: teaching effectiveness, research, extension and production. In order to get tenure, and a more secured employment, a performing faculty member should

comply with research requirements, such as publication in refereed journals. Producing quality research is the way to go when one aims for academic promotion.

Present impact of national austerity measures and budget cuts on Philippine state universities or colleges appear largely planned and introduced earlier through the CHED's normative financing strategy. Budget cuts lead to a disproportionate number of vacant faculty positions in certain fields at most universities. These are usually highly technical posts in sciences, engineering, and mathematics, leaving an imbalance between faculty expertise and institutional needs. By terminating non-tenure-track faculty members, institutions indirectly have made the decision to reduce or eliminate programmes such as remedial education, beginning language courses, and teacher education, which often heavily depend on non-tenured faculty members.

3.4 Academic Promotion and Achieving University Goals

Academic promotion is generally defined in faculty manuals. Minimum standards must be followed. State universities or colleges should only hire and promote the most qualified, best and brightest. For example, in UP and PNU, faculty members are often authors of Philippine textbooks and locally renowned experts in their chosen fields. Be that as it may, they do not receive as much as their expert counterparts in prestigious private universities. Faculty members of state universities or colleges continue to struggle for academic excellence, freedom, and governance.

Hiring and promotion are lengthy processes. Deliberation takes a lot of time and justifications have to be made as to why appointments to higher ranks are given. In many cases, faculty members have begun working in colleges and universities even before they receive their appointment. As a result, they do not receive salaries or allowances for the months they rendered services while waiting for their appointment papers.

3.5 Promotion Criteria, Morale and Teaching Performance

The Philippines has a well-developed scheme for faculty classification, selection, compensation, and promotion based on NBC 461. As seen in the case of UP, there is a clear link among promotion, tenure agreements, and refereed publications. Faculty members who fail to conduct research will always fail to obtain tenure. In fact, non-participation and failure to take a leadership role in research always leads to termination.

Promotion policies emphasize performance in research rather than teaching. Faculty members who have not completed acceptable internationally refereed articles or whose research works are still pending publication are issued notices of non-renewal of employment within three years after being appointed assistant professor. These notices are often served sixty days before the end of their appointment.

Some faculty members who could not meet the requirements for tenure simply remain in their posts without enjoying the benefits of tenured faculty. Sometimes, even those who meet all of the requirements suffer demoralization and eventually transfer to privately owned universities due to the very limited number of slots for tenured posts.

CONCLUDING REMARKS

THIS RESEARCH provides a view of the landscape of academic promotion for teaching personnel in the Philippines. Following the country's adoption of NBC 461, state universities or colleges no longer implement individual staff credentials and qualifications with remarkable disparities in pay and compensation. The Position Classification and Compensation Scheme for Faculty Positions established the common criteria for evaluation, which has become the new basis for recruiting, classifying, and promoting faculty members. A set of factors to determine the relative performances of faculty members in state universities or colleges based on services rendered and achievements have been established.

All state universities or colleges now follow the standardized classification scheme. Each university or college has also developed and implemented guidelines to standardize faculty ranking across departments, including salary rates. A well-developed instrument for generating faculty profiles across state universities or colleges, HEIs, and teacher education institutes can serve as a basis for any policy decision on academic promotion. Once ranked and rated, well-developed policies and guidelines for an appeal process that lasts six months can be implemented as well.

The Position Classification and Compensation Scheme for Faculty Positions not only looks at educational qualifications but also at faculty members' experience and professional services rendered, along with their professional development, achievements, and honors received. The qualitative contribution of faculty members is measured based on at least four functional areas—teaching effectiveness, research, extension, and production.

The Philippines also has adopted a system of accreditation that any eligible faculty member has to go through. This screening process validates the eligibility of each candidate. The accreditation process involves written exams and interviews that mainly deal with substantive issues related to an applicant's field of specialization.

UP has a system of tenure, which puts a high premium on research, particularly on lead or sole authorship of an article in a refereed journal. This requirement poses a huge challenge to those who aspire to be promoted to higher positions. The “publish or perish” rule often has brought about tension within the academic community. The tenure policy strictly requires research competence, apart from productivity and scholarly performance. To determine eligibility for promotion, a candidate's teaching ability, dedication to service, positive evidence of educational interest, and good personal character and conduct are also evaluated, apart from research competence. As such, academic promotion in UP also implies selectivity and choice, as it is awarded for academic, scholarly and professional accomplishments, and not for seniority or length of service.

In PNU, the same stringent requirements for promotion are followed. The university strictly adheres to the CCE mandated by “NBC 461”. Promotion is based on a candidate's educational qualifications; experience; length of service; and professional development, achievements, and honors received. The common criteria is used alongside the qualitative contribution evaluation, which focuses on four functional areas—instruction, extension, productivity, and research.

Another issue closely associated with academic promotion is the “Salary Standardization Law,” which state universities or colleges adhere to. Public servants from state universities are lagging behind their counterparts in private institutions in terms of salary. In a report by UP President Roman in 2006, more than four hundred UP faculty members have left UP in the past five years due to low salary.

Receiving tenure in state universities or colleges is tied to sole or lead authorship in refereed publications as well. This has become a big issue even within UP. Many university councils also include this in their agenda for further deliberation.

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**ACADEMIC PROMOTION
IN HIGHER EDUCATION
INSTITUTIONS WITHIN
THE PURVIEW OF
THE UNIVERSITY GRANTS
COMMISSION OF SRI LANKA -
A REVIEW**

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1. Background

Higher education in Sri Lanka started in 1942 following the establishment of a small, elite higher education system in line with the traditional Commonwealth model. Sir Ivor Jennings, the founding father of higher education in Sri Lanka, established the University of Ceylon as an autonomous, unitary, residential and elite higher education institution following the Oxford-Cambridge traditions. This acted as the seed for the subsequent development and expansion of higher education in Sri Lanka.

Presently, there are fifteen universities, ten institutes and eight post-graduate institutes in Sri Lanka which fall within the purview of the University Grants Commission (UGC). The UGC serves as the apex regulatory body, affording autonomy and academic freedom to higher education institutions (HEIs) in line with national policy. Some key functions of the UGC are given below:

1. Planning and coordination of higher education
2. Maintenance of academic standards of HEIs
3. Regulation of admission of undergraduate students to HEIs
4. Regulation of administration of HEIs
5. Provision of funds to HEIs as voted by the parliament for higher education

The thirty-three HEIs falling within the purview of the UGC have a total internal undergraduate student population of greater than 80,000, with over 5,000 academic staff, including around 700 professors, 2400 senior lecturers and 2330 lecturers (UGC Handbook, 2013).

In addition, there are a few more state-run HEIs, but they fall outside the purview of the UGC, namely, the University of Pali and Buddhist Studies, Buddhashravaka Bhikshu Wishva Vidyalaya, Kotalawala Defense University, the University of Vocational Technology and the Ocean University of Sri Lanka. Moreover, there are over fifty non-state higher education institutions in Sri Lanka offering more than 200 degree programmes in partnership with foreign higher education institutions. Of these, only about five institutions are well established and produce a tangible output of graduates, while the vast majority are recently established with hardly any graduate output yet

(Pitigala-Arachchi, 2012; Warnapala, 2011). The focus of this review is on academic promotions in the HEIs coming within the purview of the UGC.

2. Policy on Academic Appointments and Promotions

Policy on academic appointments and promotions should ensure an effective and efficient process which is fair, transparent, equitable, professional, timely, and it should be designed to recognize and reward high performing staff based on merit and equity, enabling the HEIs to attract, retain and motivate academic staff of all categories. The academic appointments and promotions should be done with such rigour that the appointees are able to command the respect of their students and their peers, thereby enhancing the national and international image and profile of the HEI. In order to ensure the above, there have been occasional changes and improvements in the rules and regulations that govern academic appointments and promotions.

The subject of formulating the said rules and regulations comes within the jurisdiction of the UGC. Therefore it is centrally handled and all HEIs adhere to the same scheme and procedure in academic appointments and promotions.

3. Academic Promotions

Academic promotions in Sri Lankan HEIs mainly fall into the following five categories:

1. Lecturer to Senior Lecturer Grade 11
2. Senior Lecturer Grade 11 to Senior Lecturer Grade 1
3. Senior Lecturer Grade 11/1 to Associate Professor/Professor
4. Associate Professor to Professor
5. Professor to Senior Professor

3.1 Promotion from Lecturer to Senior Lecturer Grade 11

Until 2013, the minimum duration of the postgraduate degree required in this regard was two years with a few exceptions in fields such as library science. In the past, opportunities for higher studies were mainly

available in other countries, for example, UK, USA, Australia and Japan. However, following the globalization of higher education, new avenues for higher education opened up in non-traditional countries with varied duration in postgraduate programmes. Moreover, with the advent of ICT, a blended/dual mode of delivery system (i.e. face-to-face and open and distance learning (ODL) methods) has been introduced which has enabled students to take courses after working hours and during weekends through ODL. This has resulted in reduced duration of the academic offerings by some leading universities, i.e. 18-20 months' without compromising the credit value of the courses. For instance, the MPhil programme presently offered by the University of Oxford is 21 months in duration.

In light of the above changes, the UGC amended the eligibility requirements for promotion and ensured alignment with changes taking place in the global higher education landscape (vide UGC circular No. 01/2013 of 28.01.2013).

“Master’s degree (full-time) in the relevant field of a minimum duration of twenty months with a substantial research component, or a master’s degree of at least sixty credit units with not less than fifteen credit units of research by way of thesis in the relevant discipline, or a doctoral degree.”

3.2 Promotion from Senior Lecturer Grade II to Senior Lecturer Grade I

A senior lecturer grade 11 who has completed one year on the maximum salary scale, or who has served six years in that grade, becomes eligible for promotion to grade 1 provided s/he has made good contributions to teaching, research, dissemination of knowledge and institutional development. This is assessed by a panel appointed by the Senate, comprising the relevant dean, the head of the department and two senate nominees, one of whom with knowledge of the relevant discipline and the other from another discipline, and based on the self-assessment submitted by the candidate (vide UGC circular No. 721 of 21.11.1997). The lack of a clear marking scheme makes this assessment process rather subjective. It is necessary to introduce a clear marking scheme enabling objective evaluation of applications for promotion in question.

3.3 Promotion from Senior Lecturer Grade 11/1 to Associate Professor/Professor

Candidates applying for associate professorship/professorship must demonstrate that they possess a sustained and distinguished research profile, with impressive academic credentials that enhance external recognition for themselves, as well as for the HEI concerned. In evaluating applications for the said posts, only the academic, research and scholarly contributions were considered in the past (vide UGC Circular No. 165 of 06.04.1982). Consequently, academics were prompted to be engaged mainly in the pursuit of academic and research excellence with hardly any contribution to, and engagement in, institutional, community, regional and national development. The scheme of promotion to the post of associate professor and professor was, therefore, amended in 1997 to ensure a balanced contribution in the following key areas (vide UGC circular No. 723 of 12.10.1997):

1. Teaching and academic development
2. Research, scholarship and creative work
3. Dissemination of knowledge and contribution to institutional, regional, national and international development

Thus, in order to qualify for a professorial position, a candidate should meet the minimum threshold in respect of each of the said categories, as well as the total minimum threshold stipulated as given below (vide UGC circular No. 916 of 30.09.2009):

	Associate Professor		Professor	Professor
	Internal	External	(Merit)	(Cadre/ Advertised)
1. Contribution to teaching and Academic Development	10	05	20	25
2. Research and Creative Work	25	35	50	55
3. Dissemination of Knowledge and Contribution to University and National Development	10	05	10	15
Minimum Required Total Marks	70	70	105	115

Building on this minimum, a ceiling was introduced as to the maximum amount of marks that could be obtained for the abstracts published in order to prevent candidates with hardly any published research papers from qualifying for the post of associate professor/professor. Also, a minimum threshold score for research papers published ensured that a candidate qualifying for the post of associate professor or professor had an acceptable publication record.

Until 2014, obtaining a Ph.D. was not a prerequisite for promotion/appointment to the post of associate professor or professor. However, with ever increasing globalization of higher education and increased value and recognition attached to the international ranking of universities, the HEIs in Sri Lanka started paying greater attention to promoting a vibrant research culture in universities. In Sri Lanka, it was observed that the research output, intellectual contributions and publications in scholarly journals of professors with a doctoral degree have been considerably higher than those with a master's degree. This led to the revision of the promotional scheme in 2014, whereby possessing a Ph.D. or an MD has been made a prerequisite for promotion to professorial positions. However, an outstanding publication record could substitute for Ph.D. and MD degrees. Thus, a minimum of 10, 15 or 20 publications in indexed/scholarly journals will be considered equivalent to Ph.D. or MD for promotion/appointment to the post of associate professor, professor and senior professor, respectively (vide UGC Circular No. 04/2014 of 01.04.2014).

3.4 Promotion to the post of Senior Professor

The senior professor position was created by the UGC (vide UGC Circular No. 838 of 26.01.2004 and Commission Circular No. 897 of 08.07.2008) in order to avoid stagnation in salary when an academic becomes a professor relatively early in his/her career. As in the case of promotion from senior lecturer grade 11 to grade 1, no marking scheme is available, so promotion is done based on a self-assessment submitted by the candidate, giving contributions and accomplishments made in the following areas since their promotion to the post of professor.

1. Teaching and academic development
2. Research, scholarship and creative work
3. Dissemination of knowledge and contribution to institutional, regional, national and international development

Lack of a marking scheme has made the process of promotion subjective. Therefore, it is desirable to introduce a marking scheme so as to make the promotional process objective and transparent.

4. Relative proportion of professors in Sri Lankan Universities as against the other categories of academic staff

In Sri Lankan universities, there are two kinds of professors, namely chair professors and merit professors. The former is filled through public advertisement, enabling external candidates to apply. The latter is based on merit promotion and is applicable only to the internal candidates. Barring a few exceptions, a department of study generally has only one chair provision thus can have only one such professor. On the contrary, a department of study can have several professors based on merit through internal promotion.

There are variations in the relative proportion of different categories of academic staff in the fifteen universities of Sri Lanka. In recent years, the overall percentage of professors varied from 0 – 17.75. The University of Kelaniya has the highest percentage of professors (i.e. 17.75 amounting to 106 professors), while the South-eastern University, Eastern University and Uwa-Wellassa do not have any professors at all. The former two are located in the eastern province of the country, and their academic development has been affected due to the ethnic conflict which lasted for nearly thirty years (from early 1980's up to 2009). The latter was established only recently in 1995.

A considerable variation in the percentage of professors is also observable across the major faculties including agriculture, arts, engineering, management, medicine and science (UGC, 2013). The highest overall percentage of professors is found in the faculty of agriculture (16.36 percent) followed by the faculty of medicine (15.42 percent), the faculty of engineering (12.74 percent), the faculty of science/applied science (11.17 percent), the faculty of arts (10.21 percent) and the faculty of management (3.47 percent). However, the total number of professors in these faculties shows a different pattern, specifically 63, 108, 59, 117, 126 and 22, respectively. It is also important to examine how this parameter varies between faculties within the universities and between departments of study within faculties.

5. Scientometric studies on output and impact of research by professors

The recognition and prestige of a university depends to a great extent on the quality of its faculty – how recognized they are at home and abroad as a result of the contributions they have made in advancing the frontiers of knowledge in their respective fields. In order to receive such recognition, they should occupy a place on the frontiers of knowledge and play a part in moving them forward through engagement in cutting-edge research. Therefore, to assess the contributions made by professors to the advancement and dissemination of knowledge in their respective fields, three parameters, namely, research publications, citation count and h-index (Hirsch, 2005) were used. Data in this regard were collected from Google Scholar using Publish or Perish software in respect of all professors (Harzing, 2007). Details of the study will be published in a separate paper and its highlights are only reported here.

While six professors had publications in the range of 100 – 300, some professors did not have a single publication as per the data collected from Google Scholar. The percentage of such professors varied between faculties, and it was lowest in the faculties of science and highest in the faculties of arts. Similar trends were generally observable in respect to citation count and h-index. (Pratheepan, T. and Senaratne, R., unpublished). However, it should be noted that the academic staff attached to the Faculty of Arts publish actively in non-indexed, but refereed national journals, some of which are published in their mother tongue, Sinhala or Tamil. Besides, scholarly work in fields such as visual and performing arts, which includes oriental dancing, music, drama, aesthetic studies, creative arts and such, cannot be properly and justifiably assessed using the evaluation scheme currently adopted.

On the other hand, there are professors in faculties of agriculture, engineering, management, medicine and science, with no publications in scholarly journals as per the data collected by Google Scholar. This indicates the need for a review of the scheme of promotion to include a minimum threshold value for publications in scholarly/indexed journals, at least in fields other than the arts, to start with. This merits the attention of the University Grants Commission and vice-chancellors of the universities in Sri Lanka.

6. Provision for appeals against any discrimination, injustice or irregularities in academic appointments and promotions

There is provision in the Universities Act No. 16 of 1978 to establish a University Services Appeals Board (USAB) which was accomplished in 1991 through an Ordinance. It is chaired by a retired judge. It conducts investigations into appointments and promotions alleged to have been made to the staff of the Commission and to Higher Educational Institutions in contravention of the schemes of recruitment and the procedures for appointment in force at the time such appointments or promotions were made or alleged to have been made, and into allegations that appointments or promotions have not been made to posts when vacancies have arisen in such posts.

7. Recommendations for improvement of academic appointments and promotions

- 1.** Make Ph.D. a mandatory requirement for appointment or promotion to the post of senior lecturer from lecturer (probationary), as appointments made only with a master's degree often result in relatively low research output and intellectual stature compared those with Ph.D., thereby affecting the academic climate and intellectual atmosphere of HEIs.
- 2.** Introduce a scheme to evaluate the academic and research performance of professors on an annual basis as there is a tendency for professors to become complacent and rest on their laurels after being promoted.
- 3.** Formulate a separate scheme for academic appointments and promotions in fields such as aesthetic studies, visual and performing arts, indigenous medicine etc., as the present scheme is inappropriate for evaluating candidates in such fields.
- 4.** Formulate a marking scheme with minimum threshold marks for promotion to the posts of senior lecturer grade 1 and senior professor in order to make the process of promotion objective and transparent.

5. Develop objective and effective criteria to assess contributions to community, regional and national development.
6. Make it mandatory to have a minimum threshold number of publications in indexed/scholarly journals in order to qualify for appointment/promotion to the post of associate professor/professor.
7. Introduce new posts such as junior research fellow and senior research fellow to promote a vibrant research culture and enhance enrolment of postgraduate students in HEIs. Teachers are heavily preoccupied with teaching and examination matters leaving only a little time for research and supervision of graduate students.

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**ACADEMIC PROMOTION
OF HIGHER EDUCATION
TEACHING PERSONNEL
IN THAILAND**

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CONTEXT AND BACKGROUND OF ACADEMIC PROMOTION

1.1 Overview of higher education reform: Autonomous public universities

Since the 1999 National Education Act in Thailand, several measures have been taken to encourage higher education reforms. Thailand's National Education Act is at the heart of all reform programmes in Thailand. Under the second 15-Year Long Range Plan on Higher Education (2008-2022), Thailand will be focused on improving the quality of higher education graduates, faculty members, researchers and education provision. In order to achieve these four quality objectives, the transformation towards a new governance system which allows HEIs to achieve higher education standards, a flexible management system and broader networking is of key importance. Therefore, in terms of management, the 'autonomous status' or 'autonomous university' system had been practiced both at the governmental and institutional level. Since 1999, no more conventional bureaucratic public universities have been allowed to be established. Therefore, after 1999, newly established universities such as Suranaree University, Mae Fah Luang University and Walailak University have been granted the status of autonomous universities. Other remaining public universities have been encouraged to attain the status of autonomous universities since 2006 after the University Autonomy Act was passed.

Today, higher education institutions in Thailand are comprised of public and government-supervised institutions (also known as autonomous universities), private institutions and community colleges. As shown in Table 1, there exist twenty-five public universities

including specialized technological institutes, or ‘*Rachamangala*’, listed under the category of public institutions, fourteen autonomous public universities and forty *Rajabhat* (former teaching colleges) universities. Included are thirty-eight private universities, twenty-six private colleges and seven private institutes. It is important to note that among the twenty-five public universities and fourteen autonomous colleges, some were chosen by the government to attain the status of national research universities. To date, most have already transformed themselves into autonomous universities. The nine research universities include Chulalongkorn University, Mahidol University, Chiang Mai University, Kasetsart University, Thammasat University, Khon Kaen University, Prince of Songkla University, King Mongkut’s University of Technology Thonburi and Suranaree University of Technology. As of September 2014, the number of teaching personnel who have obtained the academic rank of assistant professor or professor (including distinguished class - *Sor. 11*) in both public and private higher education institutions was around 20,000. This number accounts for approximately thirty-seven percent of the whole population of teaching personnel at HEIs in the country.

1.2 Context of academic promotion in autonomous public universities

Academic promotion of teaching personnel in autonomous public universities has undergone several adjustments based on higher education reform in Thailand. In the past, all academics in Thailand were placed in the category of government officials. Academics were governed by the same regulations, promotion and dismissal criteria as government officials in other governmental organizations. Now, newly recruited academics at autonomous universities are university employees and are governed by different regulations. However, in some autonomous universities, academics recruited before the enactment of the Autonomous University Act are eligible to choose their own status as either government officials or university employees. Therefore, there is a dual track system for government officials and university employees in the human resource management of the fourteen autonomous universities in Thailand. These tracks include academic rank promotion.

The link between these units within the Thai higher education system, Thai national policies and the passing of necessary legislative acts is

under the purview of the Ministry of Education. The chief charge of the Ministry of Education is to empower public universities as much as possible to manage their internal affairs efficiently and independently. However, to prevent the autonomous universities from abusing their new powers, the Ministry of Education regulates them indirectly through regular budget allocations and some Acts which outline general guidelines for personnel and internal affairs management. Three examples of this are the 2004 and 2008 Government Officials and Personnel in Higher Education Act and the 2007 Administration of Higher Education Institution Internal Affairs Act.

Currently, as shown in Table 2, the total number of teaching personnel who have obtained academic positions in autonomous universities is approximately 7,100, while the rest, which accounts for almost fifty percent of the total population of higher education teaching personnel, are still lecturers. Among the fourteen autonomous universities, Mahidol University was chosen as a case study because it possesses approximately 2,100 teaching personnel with the academic rank ranging from assistant professor to professor. This number accounts for almost thirty percent of the population of teaching personnel in all autonomous universities. Mahidol outnumbers other universities in all categories of academic ranks with 1,022 assistant professors, 828 associate professors and 234 professors. Chulalongkorn University is second in terms of overall teaching personnel with academic ranks, including 877 assistant professors, 787 associate professors and 229 professors. However, when analysed in terms of the ratio between the total number of the teaching population and academic personnel, Chulalongkorn University performed better in terms of distribution. While the position of lecturers in Chulalongkorn University accounts for thirty-two percent, assistant professors, associate professors and professors accounted for thirty-one, twenty-eight and eight percent, respectively. Comparatively, the total number of lecturers in Mahidol University were forty-five percent of the total teaching population, assistant professors, associate professors and professors account for twenty-six, twenty-one and six percent, respectively.

Table 1: Types of HEIs in Thailand and Number of Academic Personnel (as of September 2014)

Types of HEIs	Lect.	Asst.	Asst. (s)	Assoc.	Assoc. (s)	Prof.	Prof. (s)	Prof. (11)	Total
Public HEIs									
Public Universities (25)	12310	5877	5	2854	6	208	68	21	21349
Autonomous Universities (14)	6887	3685	20	2729	27	479	48	83	13958
<i>Rajabhat</i> Universities (40)	7009	2303	1	412	0	8	0	0	9733
Total	26,206	11,865	26	5,995	33	695	116	104	45,040
Private HEIs									
Private Universities (38)	7663	1026	7	307	3	49	6	0	9061
Private Colleges (26)	923	36	0	33	0	7	1	0	1000
Institutes (7)	216	10	0	8	0	3	0	0	237
Total	8,802	1,072	7	348	3	59	7	0	10,298
Community Colleges									
Community Colleges (19)	220	1	0	0	0	0	0	0	221
Total	220	1	0	0	0	0	0	0	221
Grand Total	35,228	12,938	33	6,343	36	754	123	104	55,559

Source: Office of Higher Education Commission, Thailand

Table 2: Autonomous Universities and Number of Academic Personnel (as of September 2014)

Autonomous Universities	Lect.	Asst.	Asst. (s)	Assoc.	Assoc. (s)	Prof.	Prof. (s)	Prof. (11)	Total
Chulalongkorn University	906	864	13	774	13	160	40	29	2799
Chiang Mai University	865	593	4	468	10	68	0	20	2028
Thaksin University	384	61	0	18	0	2	0	0	465
KMUTT ⁵³	277	169	1	126	0	11	0	2	586
KMUTN ⁵⁴	506	219	0	111	0	2	2	0	840
Suranaree Institute of Technology	113	123	0	49	0	16	0	0	301
Burapha University	851	230	0	70	0	5	1	0	1157
Payao University	569	36	0	16	0	1	1	1	624
Mahachulalongkornrajavidyalaya University	0	0	0	0	0	0	0	0	0
Mahamakut Buddhist University	40	20	0	11	0	0	0	0	71
Mahidol University	1751	1021	1	824	4	203	2	29	3835
Mae Fah Luang University	293	16	0	6	0	2	0	0	317
Walailuck University	0	46	0	12	0	1	0	0	59
KMITL ⁵⁵	333	287	1	244	0	8	2	2	877
Total	6,888	3,685	20	2,729	27	479	48	83	13,959

Source: Office of Higher Education Commission, Thailand

⁵³ King Mongkut's University of Technology Thonburi (KMUTT)

⁵⁴ King Mongkut's University of Technology North Bangkok (KMUTN)

⁵⁵ King Mongkut's Institute of Technology Ladkrabang (KMITL)

NATIONAL POLICY OBJECTIVES AND THEIR IMPACT ON ACADEMIC PROMOTION

2.1 National policy and legal initiatives

Apart from the Autonomous University Act,⁵⁶ Thailand bases its policy and regulations regarding higher education personnel administration under several laws. Regulations and laws related to academic promotion in autonomous universities include the 2004 and the 2008 (Amended) Civil Service in Higher Education Institutions Act (also known as University Personnel Act) and 2007 Administration of Higher Education Institution Internal Affairs Act.

2.1.1 The 2004 and 2008 University Personnel Acts

In recent years, instead of assuming that the majority of the personnel in higher education institutions would continue to be government officials, attempts have been made to reinforce the idea that public higher education institutions in Thailand would eventually transform their status into autonomous institutions. In turn, their personnel would become employees of the higher education institutions. Therefore, the University Personnel Administration Act was drafted with significant points related to the status and promotion of teaching personnel, as follows:

- The 2008 Act clarified that personnel in higher education institutions fell into two main categories – government officials and university personnel. While the former's salary scale and remuneration rate was set by the Office of the Civil Service

⁵⁶ This is the law promulgated for each university so that they may achieve the status of autonomous university.

Committee (OCSC) and supported by the government's regular budget, the source of funding for university employees could be both from the government's regular budget or the income generated by the HEI (Clause 3).

- In accordance with the 2008 Civil Service in Higher Education Institutions or University Personnel Act, the ranks and levels of academic or teaching personnel in the 2008 Act were similar to those mentioned in Clause 36. The contract of university employees could also be extended under the new draft up to the age of 65 for academics ranked professor or associate professor. The only difference between the new draft and the former Act was that those who were ranked as associate professors no longer needed to be Ph.D. holders, and additional eligibility criteria could be designated by the university (Clause 72).
- The 2008 Act distinguished between the role of teaching personnel who assumed administrative positions, where each higher education institution could choose whether the person would continue with academic responsibilities or be allowed to concentrate on administrative work and receive both the usual remuneration as teaching personnel and other administrative stipends as agreed upon by the University Council (Clause 15).

2.1.2 The 2007 Administration of Higher Education Institution Internal Affairs Act

This Act supports changing the status of public universities into autonomous ones, and it provides guidelines for the remaining public higher education institutions in the country to manage their own organizations. This was done in the context of a decreasing national budget. The main purpose of this Act is to provide public universities with the authority to establish and manage their own internal agencies. These agencies included faculties, research institutes and research centres. These agencies can now support themselves through income generated on their own. Internal administrative affairs have to be undertaken based on university regulations.

2.1.3 The Autonomous University Act

During the economic crisis in 1998, the Government of Thailand committed to the International Monetary Fund (IMF) to reduce

government spending and to encourage government bodies in re-engineering their administration and management to be more self-sufficient. From 1999 onwards, the government proposed that public higher education institutions gain the status of autonomous universities. This was especially true of newly established universities. Since 1999, fourteen universities in Thailand have become autonomous public universities. Ten of them have promulgated their own autonomous laws and six of them were conferred the status of autonomous universities upon their establishment, as shown in Table 3.

Table 3: Autonomous HEIs in Thailand (as of 2013)

Autonomous University by the Promulgation of Autonomous University Act	Newly Established Autonomous University
1. Mahachulalongkornrajavidyalaya University	1. Suranaree University of Technology
2. Mahamakut Buddhist University	2. Mae Fah Luang University
3. Thaksin University	3. Walailak University
4. Chulalongkorn University	4. University of Phayao
5. King Mongkut's Institute of Technology Ladkrabang	5. Navamindradhiraj University (managed by BMA)
6. King Mongkut's University of Technology Thonburi	6. Princess Galyani Vadhana Institute of Music (not in the OHEC database)
7. King Mongkut's University of Technology North Bangkok	
8. Mahidol University	
9. Chiang Mai University	
10. Burapha University	

Each of these autonomous public universities has its own autonomous laws which outline its vision, mission, administrative rules and regulations, quality assurance and evaluation, monitoring procedures, accountability, academic promotion, disciplinary actions and compensation. As regards specific rules and procedures, most autonomous universities pass regulations pertaining to each managerial and administrative issue. Fundamentally, university regulations equate to university laws and are designated under the promulgated autonomous university law. Mahidol, for example, promulgated its own law in 2007.

STRUCTURE AND CRITERIA FOR ACADEMIC PROMOTION

3.1 Academic structure and hierarchy in research-intensive universities

The 2008 Civil Service in Higher Education Institutions Act (also known as University Personnel Act) guides the academic structure in the Thai higher education system. The Draft University Personnel Administration Act has also guided the structure of the Thai higher education system. Based on the guidance of these Acts, the structure of higher education personnel in Thailand is divided into five different ranks, as follows:

- a. Professor
- b. Associate Professor
- c. Assistant Professor
- d. Lecturer
- e. Others, as seen appropriate by the HEI

However, each HEI can still re-classify its academic structure to suit its context and management settings. For example, most autonomous public universities usually follow guidelines that create two different categories of academic personnel with different criteria for academic promotion.

As shown in Table 4, Mahidol University, as well as other HEIs in Thailand, has classified these ranks into several categories:

Table 4: Hierarchy of Academic Structure in Research-intensive Universities

Government Officials		University Employees	
Professor of Highest Level (Sor. 11)			
Professor	Professor (Distinguished)	Professor	Professor (Distinguished)
Emeritus Professor			
Associate Professor	Associate Professor (Distinguished)	Associate Professor	Associate Professor (Distinguished)
Assistant Professor	Assistant Professor (Distinguished)	Assistant Professor	Assistant Professor (Distinguished)
Lecturer			
Assistant Lecturer			

Source: Author’s Table

All HEIs in Thailand have adopted the ranks of professor, associate professor and assistant professor. These ranks are divided into two categories: the normal and the special tracks. Both tracks receive the same stipend, but the main difference is in promotion criteria. The special track is meant for the group of teaching personnel whose qualifications do not exactly match the description for each rank in the normal track. Examples of this include those who have not obtained enough teaching experience as set by the General Guideline for Academic Promotion, those who wish to skip from lecturer to associate professor without first applying for an assistant professorship, or those who wish to apply for an area of expertise which is different from his or her former rank. The criteria for the special track are usually more demanding and the evaluation process involves more assessment by experts and readers. Normally, four out of five readers would have to agree on the quality of the submitted work of those who apply for academic promotion using the special track, while the normal track needs fewer positive responses from the readers.

Another important difference regards the type of academic or teaching personnel, whether they are government officials or university employees. Both types of personnel are placed under different criteria

for academic promotion. This aspect of the academic division will be discussed in detail in the following section. Additionally, all higher education institutions in Thailand have set the entry level for academic or teaching personnel at the level of lecturer, known in Thai as *'Ajahn'*. Some universities occasionally have allowed the recruitment of assistant lecturers in the case of master's degree holders or those who do not have teaching experience. However, within the university itself, the decision to hire an assistant lecturer depends on the judgment of the administrative teams at the level of faculties, institutes and colleges. For example, at Mahidol University, the difference of academic status between government officials and university employees is only in the criteria for promotion. Both government officials and university employees receive the same stipend, career benefits and recognition.

3.2 Process of academic promotion

In Thailand, there is a common guideline on the criteria for academic promotion which has been adopted by all HEIs in the country. As mentioned above, the common guideline was released in 2007 by the Civil Service Committee for Higher Education Personnel, also known in Thai as *'Kor Por Or'*. The General Guideline for the Evaluation Criteria for Academic Promotion: Assistant Professorship, Associate Professorship and Professorship was published in the Government Gazette and has been used as a universal guideline since 2007 in both private and public HEIs, with a recent amendment in 2013. In most universities, the process of academic promotion involves assessment at three levels. First, the assessment is focused at the level of the faculty, institute or college where the applicant is affiliated. Upon completion of the qualification criteria, including the employment years, submitted work and other requirements as mentioned in section 3.2.3, the applicant for academic promotion is required to submit all related documents to the head of the department and the head of the faculty, institute or college. The Faculty Committee for Academic Promotion will then assess and review all submitted documentation. Upon the approval of the Faculty Committee, the second step involves forwarding the documents to the University Committee for Academic Promotion to decide on a combination of readers and experts for evaluation. The results of the assessment made by the readers and experts are then returned to the University Committee for Academic Promotion for acknowledgement. The third step is that the results of the assessment

are sent to the University Council for official approval. If the results are negative and the applicants wish to appeal for re-assessment, the University Committee for Academic Promotion is the unit where appeals are made. Once the results are approved by the University Council, the applicant is awarded the rank and promotion. The results of the assessment and the approval of the University Council are then forwarded to the Office of Higher Education for the final acknowledgement and the update of the national academic position database. Impartial appeals also can be done at the level of the Office of Higher Education Commission, as elaborated in 3.4.2.

3.2.1 Criteria for academic promotion: assistant professor, associate professor and professor

In the General Guideline for Academic Promotion provided by the Civil Service Committee for Higher Education Personnel, the level of academic ranks is divided into assistant, associate and full professor. Each rank is also divided into normal and special submission tracks, as mentioned previously. The Guideline allows each institution to adapt the criteria to suit its own institutional preference, strategies and visions. While the overall criteria for the submission is similar, including teaching experience, teaching loads, research and academic work, and ethical criteria for academics, each track also has different detailed requirements set for academic promotion.

a) Teaching experience

Bachelor's degree, master's degree and doctoral degree holders have different intervals between the time of their first recruitment and the time when they are eligible to submit an application for academic promotion to the position of assistant professor. Generally, bachelor's degree holders have to wait for nine years, while master's degree and doctoral degree holders have to wait for a shorter length of time, five years and two years, respectively. It is only after three years in the position of assistant professor that a candidate is eligible to apply for the position of associate professor. Another two years must be added to their teaching experience before an associate professor is able to submit for a full professorship. The number of years of teaching experience is, therefore, the first criterion for consideration by the Committee for Academic Promotion. However, this is not the only factor that determines the success of the application. Other factors are teaching loads, research and academic work, as well as ethical criteria.

Table 5: Summary of General Criteria for Teaching Experience

Professor			
Associate Professor			+ 2 years
Assistant Professor			+ 3 years
Lecturer	Bachelor's Degree	Master's Degree	Doctoral degree
	+ 9 years	+ 5 years	+ 2 years

Source: Author's Table

b) Teaching requirements

The second criterion mentioned in the guideline for eligibility of submission of academic promotion is the teaching load of an applicant. An applicant should ideally have had a teaching load of at least one subject in the programme curriculum. Each institution may settle on different requirements or criteria regarding workloads, such as minimum teaching hours, the quality of teaching methods which would be assessed through classroom monitoring by senior faculty members, and so on. As summarized in Table 6, at Mahidol University the overall minimum academic loads, which usually include teaching, research and academic services to the community, is set at 1,380 working hours annually. The teaching load itself should not be lower than 180 working hours per academic calendar year. The amount of academic load and number of teaching hours are applied to the ranking process of a professorship application. The only difference is on the quality of the assessment of the classroom teaching set by the Committee for Academic Promotion at the institutional level. The Committee holds that the result of the teaching assessment for an assistant professor, associate professor and professor should be 'competent', 'extremely competent' or 'expertly competent or outstanding', respectively. These assessment criteria are described in Thai as '*cham-nan*', '*cham-nan piset*' and '*chiao-chan*', as each indicates a different level of teaching quality and expectation. The only exception to not having to go through this criterion of assessment is for the submission for the rank of professor of the highest level (Sor. 11).

Apart from the above mentioned requirements, teaching personnel are also required to submit teaching materials as part of the teaching load assessment. These teaching materials are assessed in parallel with

the quality of teaching in actual classrooms. Generally, these materials are disseminated in the courses or subjects for which the teaching personnel are responsible. The types of teaching materials are divided into two categories, depending on the rank of professorship. Those submitting for an assistant professorship have to submit the teaching materials defined as a compilation of reading materials, course syllabi, PowerPoint or other media presentations, or draft lecture notes. Applicants, who submit applications for an associate professorship, are required to submit well-written, high quality lecture notes and other reading and teaching materials used in the teaching process. Both types of teaching materials are evaluated by the Committee for Academic Promotion at the Institutional Level and the result must be unanimously good. The amount of these teaching materials is decided by each respective HEI. The materials ranged from one topic within a course to a full-course of teaching materials which may be comprised of fifteen topics for each subject.

Table 6: Academic Loads and Teaching Requirements at Mahidol

	Assistant Professor	Associate Professor	Professor	Professor (Sor. 11)
Overall Academic/ other Services	1,380 (working hours/academic calendar)			n/a
Teaching	180 (working hours/academic calendar)			1 subject
Classroom Teaching Assessment	competent ' <i>cham-nan</i> '	extremely competent ' <i>cham-nan piseɛ</i> '	expertly competent ' <i>chiao-chan</i> '	n/a
Teaching Materials	compilation of reading materials/draft lecture notes assessed as 'good'	well-written/high standard lecture notes assessed as 'good'		n/a

Source: Author's Table

c) Academic and research work

The General Guideline for Academic Promotion states that in order for teaching personnel to submit applications for promotion, academic and research work must be completed and disseminated to the public through such forms as journal publications, national or international conference proceedings, peer-reviewed book chapters, monographs, textbooks, edited books, translated materials or other forms of electronic distribution deemed acceptable by national and international standards. Each rank of academic professorship has different requirements for academic and research work in terms of number and evaluation criteria. While the General Guideline for Academic Promotion has set the type of academic work submission and evaluation criteria for each rank, each higher education institution is held responsible to set its own criteria for academic work and research for both government officials and university employees. This is especially true in terms of the number and the dissemination channels, such as published journals in reliable citation databases, the quality of the submitted work and the combination of the experts and the evaluation committee.

Despite the differences at each institution, a few common things should be noted. In each rank, there are criteria for a normal track and a special track. In each normal track, there are two models from which teaching personnel are able to choose. Each model is different in the type of required submitted work and in the combination of expert committee members. Both models mostly have the same evaluation criteria. The main dissimilarity in the special track is not the type of submitted work which usually follows the normal track model, but the evaluation criteria, which is typically higher, and the size of the expert committee which is larger and more demanding in achieving consensus.

Apart from the above specific criteria on type of submitted research and academic work, evaluation criteria and combination of expert committee members, some higher education institutions also set up additional requirements and criteria. Mahidol University, for example, has put a lot of emphasis on the proportion of the research responsibility or the extent to which an academic takes part in a research project. It is stated in the university's regulation that if the research was a collaborative effort, those who are applying for the academic promotion must make sure that they can claim at least fifty percent of the workload for the project. Alternatively, if there are more than two research collaborators,

and the workload for the applicant was less than fifty percent, the role of the corresponding author must be assumed by the person who was submitting the application for academic promotion so that the piece can be claimed as the candidate's submitted work. In summary, the submitted research must be either conducted by the applicant who must have accounted for at least fifty percent of the research workload, or the applicant must be involved in the publication process as the corresponding author.

Table 7: Academic Promotion Criteria for Professorship at Mahidol University

	Type of Submitted Research and Academic Work		Evaluation Criteria	
	Government Officials	University Employees	Government Officials	University Employees
Professor (normal track)	Model 1			
	Research: ≥ 5 and 2 of 5 published in international citation databases; and	Research or scholarly learned articles published in international citation databases or other forms of academic work ≥ 5 (combined); and	1 of 5 is 'very good'	
	Textbook/Book: ≥ 1		'very good'	
	Model 2			
	Research: ≥ 5 and 2 of 5 published in international citation databases; or		1 of 5 is 'exceptional'	
	Other forms of academic work: ≥ 5 ; or		'exceptional'	
Textbook/ Book: ≥ 1		'exceptional'		
Professor (special track)	Model 1 only	Model 1 only	Research: 1 of 5 is 'exceptional' Textbook/Book: 'exceptional'	

Source: Author's Table

	Expert Committee	
	Government Officials	University Employees
	Model 1	
	3 experts (majority)	
	Model 2	
	5 experts (majority)	
	5 experts (4 out of 5)	

Table 8: Academic Promotion Criteria for Associate Professorship at Mahidol University

	Type of Submitted Research and Academic Work		Evaluation Criteria	
	Government Officials	University Employees	Government Officials	University Employees
Associate Professor (normal track)	Model 1			
	Research or other forms of academic work ≥ 3 (combined); and		1 of 3 is 'good'	
	Textbook/Book: ≥ 1	Scholarly learned article published in international citation databases or textbook/book ≥ 1	'good'	
	Model 2			
	n/a	Research: ≥ 5	n/a	3 of 5 are 'very good'
Associate Professor (special track)	Model 1 only		Research: 1 of 3 is 'very good' Textbook/book/learned article: 'very good'	
	n/a	Model 2	n/a	3 of 5 are 'very good'

Source: Author's Table

	Expert Committee	
	Government Officials	University Employees
	Model 1	
	3 experts (majority)	
	Model 2	
	n/a	3 experts (majority)
	5 experts (4 out of 5)	

Table 9: Academic Promotion Criteria for Assistant Professorship at Mahidol University

	Type of Submitted Research and Academic Work		Evaluation Criteria	
	Government Officials	University Employees	Government Officials	University Employees
Assistant Professor (normal track)	Model 1			
	Research or scholarly learned articles or textbook/book or other forms of academic work ≥ 3 (combined)	Research or other forms of academic work ≥ 2 (combined); and	2 of 3 are 'good'	1 of 2 is 'good'
		Scholarly learned article or textbook/book ≥ 1		'good'
	Model 2			
	n/a	Research: ≥ 3	n/a	2 of 3 are 'good'
Assistant Professor (special track)	Model 1	Model 1	2 of 3 are 'very good'	Research or other forms of academic work: 1 of 2 is 'very good'
		Model 2		Textbook/book/learned article: 'very good'
				2 of 3 are 'very good'

Source: Author's Table

Expert Committee	
Government Officials	University Employees
Model 1	
3 experts (majority)	
Model 2	
n/a	3 experts (majority)
5 experts (4 out of 5)	

3.3 Evaluation process for academic promotion

The length of the evaluation process for academic promotion varies from institution to institution. In general, academics and teaching personnel in most public or private universities are evaluated based on their academic performance through classroom teaching assessments, teaching load, research capacity and achievements, and ethical criteria. Still, issues that pertaining to the evaluation process, the results of appraisals, and the appeal process are vital to understanding of the academic promotion system in Thailand.

3.3.1 Evaluation based only on objective academic criteria

The evaluation criteria based on academic criteria covers the assessment of teaching and research performance. There are four main gauges to evaluating teaching performance. They are the number of teaching hours per academic year, the quality of classroom teaching, the quality of teaching materials, and the quality of academic works. Most public universities set a minimum of teaching hours per academic calendar for all submissions. The General Guideline for Academic Promotion sets the standard teaching hours at a minimum of one subject per academic year. However, each institution decides its own minimum hours. Mahidol University sets its own requirement at 180 working hours per academic year. The quality of classroom teaching is assessed by a special sub-committee, set up at the level of the faculty or institution to which the teaching personnel belongs. Under the sub-committee, teaching personnel are evaluated against indicators such as teaching plans, techniques and materials as shown in Table 10. The levels of assessment vary from 'revision recommended' 'incompetent', 'competent', 'extremely competent', to 'expertly competent'. Under normal circumstances, most applicants for promotion do not find it too taxing to gain a passing evaluation.

Table 10: Indicators for Classroom Teaching Evaluation

Indicators	Working definitions	Assessment Level		
Ethical considerations	<ul style="list-style-type: none"> • Ability to demonstrate oneself as an example of ethical educator. 	competent (<i>cham-nan</i>)		
Teaching plans	<ul style="list-style-type: none"> • Ability to provide systematic teaching plan which corresponds to the course objectives and learning outcomes. • Ability to develop and improve the existing teaching plans. 			
Teaching techniques	<ul style="list-style-type: none"> • Ability to stimulate among learners thinking, synthesizing and critical skills. • Ability to deploy various teaching technique to complete learning outcomes. • Ability to stimulate among learners to see the connection between different learning subjects. • Ability to introduce to learners systematic inquiries through different learning sources. • Ability to provide venue for information dissemination and exchange of ideas. • Ability to assess among learners the learning outcomes in accordance with learning objectives. 		extremely competent (<i>cham-nan piset</i>)	expertly competent or outstanding (<i>chao-cham</i>)
Teaching materials	<ul style="list-style-type: none"> • Ability to use different and innovative teaching materials. • Ability to use different materials in engaging among learners in classroom participation. 			

Source: Author's Table

The quality of teaching materials or teaching and learning supplements are assessed more thoroughly in most cases. Teaching materials are divided into two main categories. The first category is a compilation of teaching plans, as well as learning materials, and the second category is for well-written teaching materials, well-developed lecture notes or learning manuals. The sub-committee set up at the level of the faculty

or institute assesses the quality of the materials based on such criteria as the completeness of the course information as described in the qualification framework, the systematic presentation of the materials, and the relevance of the materials to the course or programme for which they were used. The assessment results of both compilations of teaching materials are judged as either 'not good', 'good', 'very good' or 'revision recommended'.

There are several types of academic work from which applicants can choose to submit, including scholarly learned articles, research, books, textbooks, research and other types of academic works. The submission for each level of academic professorship requires different types of submitted academic works as shown in Table 7. The key evaluation criteria for academic works are the level of quality and the dissemination channels. Most of the academic works, except books and textbooks, are required to be published in peer reviewed journals or as conference proceedings, either in printed or electronic formats. Books and textbooks are normally required to be disseminated by print or electronic format through a printing or publishing house. The quality of each academic material is assessed as either 'not good', 'good', 'very good' or 'excellent', as described in detail in Table 11.

Table 11: Indicators for Academic Works

Types of Academic Works	Indicators	Assessment criteria			
		Good	Very good	Excellent	Not good
Scholarly Articles	<ul style="list-style-type: none"> • An academic work presenting clear questions and arguments, methods of inquiries and explanations and complete references; and • Dissemination through peer-reviewed journals or conference proceedings. 	Accurate, complete and relevant.	Same as 'good' + analytical depth and reference-friendly.	Original, extension to the body of knowledge, well-accepted at national and international level.	
Research Work	<ul style="list-style-type: none"> • An academic work presenting clear research methodology with the findings leading to the addition of new knowledge • Original and is not a part of a degree completion • Can be in the form of original article, case report, meta-analysis but not an abstract or poster presentation • Dissemination through peer-reviewed journals, conference proceedings or compiled in a form of a full research report • Participation percentage is no less than fifty percent. 				
Books	<ul style="list-style-type: none"> • A well-written academic work in any topic which demonstrates theoretical positions, analytical depths and relevance to the discipline; and • Dissemination through a printing or publishing house in either a printed or digital format. 				
Textbooks	<ul style="list-style-type: none"> • A well-written, relevant and current academic work which is considered a key reading material in a particular course or subject within a programme offered in the institution. 				

Source: Author's Table

Apart from the above four categories of academic works, other types of academic work can be submitted for academic promotion. For example, creative innovation, scientific tools or any kind of work, such as songs, translations, compiled encyclopedia or dictionaries, and artwork which are relevant to the contribution of knowledge in any discipline, can be counted as academic works. However, these kinds of academic work must be submitted in conjunction with an analytical paper that demonstrates the relevance of the piece and the furtherance of knowledge in the discipline, or a certified result of the use of any innovations or tools.

3.3.2 Issues in the academic promotion and the appeal process

Results of a submission for academic promotion are made known to teaching personnel through formal administrative channels after the decision from external readers has been reached and submitted to the Committee for Academic Promotion and the University Council for approval. The overall process could take between six to ten months. This timeframe depends on the normality of the application and the internal process of each university. Delays in this process are usually caused by:

- a. a lack of a strong internal unit both within the level of faculty, college, institute or university to disseminate up-to-date and precise information, advise on any changing regulations and effectively process the whole publication. Faculties or units which have established a section responsible for processing applications for academic promotion have a higher rate of successful submissions when compared to those who place the workload of academic promotions on other divisions, such as human resources.
- b. a mismatch between the field of the applicant for academic promotion and the readers. Occasionally, the Committee for Academic Promotion at the university level who are tasked with nominating readers or experts to assess submitted documents fails to match the submitted documents with the right experts. Although this type of mismatch does not happen often, it can result in a long delay. Sometimes, it is not the mismatch that causes delays rather, it is the lack of experts in the field of submission. In some cases, it might take years

to process a submission, which exhausts both the teaching personnel and staff concerned.

- c. a lack of proper incentives for academic promotion is another obstacle. As mentioned earlier, a two-track system under the Autonomous University Act is practiced in Thailand. While university employees may need to submit for academic promotion as part of the criteria for contract renewal, government officials do not. In fact, some might reach retirement age without ever having applied for academic promotion.

Once a formal result is approved by the University Council, it is made known to the teaching personnel. The result is then forwarded to the Office of Higher Education Commission for final approval in the case of governmental officials, and for acknowledgement in the case of university employees, so that the national database on academic personnel and their ranks can be updated. At the Office of the Higher Education Commission, a final inspection is carried out to ensure that all the qualifications and criteria have met with respective university regulations, especially regarding publications, general qualifications and the percentage of participation of the submitted research pieces. At times, the award of academic position has been nullified because the submitted publications appeared on a list of questionable, open-access publishers, or the applicant's research participation in the submitted project was less than the specified criterion of fifty percent.

Nonetheless, an appeal process is open for teaching personnel and normally takes place within the university. This process is utilized if the result of an application is not mutually agreed upon by the committee and the teaching personnel. Generally, the applicant is allowed to appeal twice. The first appeal involves the process of re-submitting all the documents to the same group of readers and experts for reconsideration. If these readers insist on the same result, a second appeal can be launched with a new group of readers and experts. The result of the second assessment is considered final at the university level. If the result is contested again by the applicant, an appeal to the Office of Higher Education or an impartial body, such as the Administrative Court, can be pursued. However, such extreme cases are rare and appeals usually end at the university level.

CHALLENGES AND IMPLICATIONS OF EVALUATION CRITERIA FOR ACADEMIC PROMOTION

4.1.1 Teaching staff morale

Following an evaluation criteria revision in 2007, issues that pertain to evaluation criteria caused serious debate among HEIs in Thailand. The first issue concerned the evaluation criteria for assistant professorship which accommodated applications from academic personnel in non-research-intensive universities. In the 2007 revision, a book or textbook could be used as a substitute for research work. The debate revolved around the quality of a book when compared to a piece of research. Prior to 2007, it was a requirement for teaching personnel to submit a minimum of one piece of research in their submission to become an assistant professor. However, the workload of most teaching personnel in non-research-intensive universities has always been aimed toward providing excellent teaching and not so much in conducting research. Therefore, the discrepancies in terms of core functions and the requirement of academic promotion submission were controversial and led to the perceptible shift towards the lowering of the criterion that accommodated non-research-intensive universities to submit applications for assistant professorship by allowing them to submit a book instead of a piece of research. While autonomous universities, especially research universities, added more criteria specifically to fit their visions and missions, it was not a requirement to increase the burden on teaching personnel. This judgment gap was viewed as a loophole in which some institutions could take advantage and only meet minimum requirements. As echoed in one of the interviews with assistant professors in one of the nine public research universities:

‘...honestly, I did not want to tell people that I had got my assistant professorship under these [2007] evaluation criteria. Some said that it was easy to get the academic promotion and the rank did not equal the same quality anymore... I also think that it’s not fair for non-research-intensive universities like [Rajabhats] to be forced to submit for the academic promotion using the same criteria. Their expertise is in teaching...not in research. It is not fair for us either, [or] for them to think that one size can fit all...’ (PL-1, 04/08/2014)

‘...I am lucky that in the case of my university, the criteria were higher than the average. It is good that [Mahidol] did not rely only on the minimum criteria set forth in the 2007 evaluation criteria. I had to still submit a research piece and my research had to be published in, at least, the national peer-reviewed journal...it was difficult...but I think I was happy with the process...’ (PL-2, 04/08/2014)

This controversy led to a serious discussion in recent years among members of the Civil Service Committee for Higher Education Personnel as to whether the criteria must be shifted to previous conditions. Such a move would return to the former criterion that included requiring research as part of the submission documents. Officers in charge of the revision of the academic promotion at the Office of Higher Education Commission expressed concerns over the matter and were convinced that the evaluation criteria would have to be revised to raise the standard and quality of the submission criteria for academic promotion. They asserted that:

‘...as a central agency, we have received countless complaints from both sides. Those who were in favour of the current criteria said that it was important for them to be able to submit a book or a textbook instead of doing a research because it [research] does not answer to their core academic functions... We took note of that with some reservations. At the other end of the spectrum, those in the public universities and especially those experts who were the members of the Civil Service Committee for Higher Education Personnel, argued for the quality and the role of academic research in strengthening teaching and learning for students...’ (OH-1, 27/08/2014)

In other respects, concerns and complaints on the criteria were also evident, especially regarding the subjectivity of the evaluation from experts, both on classroom evaluation and research quality. Although the system indicated that members of the Committee on Academic Promotion were to be a combination of experts from various fields, a genuine understanding of some particular fields might be incomplete. This problem led to a controversy regarding the fairness of the evaluation system, especially on the nomination of readers or experts. Along the same line, another complaint was raised regarding the problem of the judgment of readers or experts to evaluate pieces of research. As put by an assistant professor:

‘...in my view, the uncertainty on the assignment of readers was the most crucial concern. I had always been worried if the readers really know about my work or if the university had assigned the right readers. I had to rely very much on the correct judgment of the university’s Committee on Academic Promotion...’ (PL-1, 8/08/2014)

4.1.2 Professional performance and career advancement

As discussed in section 4.1.1, the evaluation criteria for academic promotion plays a critical part in determining both professional performance and career advancement of academic and teaching personnel in Thailand. The criteria for professional performance have stipulated sets of requirements for academic and teaching personnel to achieve, namely teaching and other academic loads. These had been used as guidelines for teaching personnel, especially young lecturers recruited under the university employee system. With the guidelines, teaching personnel can project their own timeline of submission for academic promotion. One newly recruited lecturer agreed that:

‘...as a newcomer, I did not know what to expect of myself and what others would expect out of me in terms of teaching and research. Having the Civil Service Committee for Higher Education Personnel and the university’s academic promotion guideline helped me to plan ahead, when to start my research and how much documentation I had to prepare for the submission. As for teaching, I had to make sure that the workload was enough. It made me more aware of my own mileposts. For example, if I

plan to submit for an academic promotion in three years, I have to start my research now...’ (PL-3, 18/08/2014)

The same sentiment was shared by other senior teaching personnel who were well aware of the timeline in submitting for further academic promotion. Presently, with concrete sets of evaluation criteria, one can project his or her academic career from the first day of their recruitment. Teaching personnel can project attainment of a full professorship within ten years, provided that the quality of teaching and research was unquestionable. Two of the teaching personnel pointed out that:

‘...the guideline for academic promotion prepared by the university was very important as it provided me with an idea on how to plan my career advancement. It did not matter how difficult we have to prepare in terms of teaching loads, research work or other documentation, as long as we know far ahead what needed to be prepared. I think that is important for our career advancement...I am okay with the rules and regulations...as long as they are clearly made known and the criteria were applicable to all personnel in the university...’ (PL-2, 04/08/2014).

‘...I think for the young and middle-generation, we have come to realize that we need to wisely project our academic promotion as part of our career advancement. Without the promotion, we would not get extra stipends or top-ups which are as much as one fourth or one third of our regular salaries. With academic promotion, we would receive more credentials to provide academic services in both the public and the private sector...a clear set of evaluation criteria was vital for our career progression...’ (PL-4, 06/08/2014)

4.1.3 The criteria on quality and type of academic work

The issue on whether the evaluation criteria are justified for demanding the same from academic and teaching personnel is one of the most contentious debates following the change of criteria in 2007. As mentioned in section 4.1.1, the debate revolved around the issue of the missions of the higher education institutions and the criteria imposed upon their academic personnel. For example, the debate was on whether institutions with missions focusing on teaching should force their academic personnel to abide by the rules and regulations

made for research-based institutes or vice versa. The debate resulted in a set of standards believed to be lower than previous ones, and that accommodated higher education institutions that had teaching as their main mission and other non-research-intensive universities. However, by lowering the standard to accommodate some institutions, complaints also emerged from the other side of the community, research-intensive universities, as well as experts on the Civil Service Committee for Higher Education Personnel, whose conviction was that the evaluation standard should not be lowered, but additional criteria could be added. The issue regarding quality remains unresolved and the new process for evaluation criteria is presently under consideration.

As put by an OHEC staff involved in the process of revising the teaching personnel evaluation criteria:

‘...we understand both sides, both research and teaching institutions. But, the controversy emerged because the existing criteria seemed to be in favour of the teaching institutions by having left leeway for them not to do research but able to submit for an assistant professorship using textbooks or books, which were deemed as less scrutinized by their peers. It seemed like excuses were made for them...lots of experts in the Civil Service Committee for Higher Education Personnel did have problems with that but could not do much at the time. We hope by the end of this year we [will] be able to have the evaluation criteria revised...’ (OH-1, 27/08/2014)

An administrator in Mahidol University, which is a research-intensive university, agreed that:

‘...adding alternatives to research or academic work was somewhat acceptable as an option. The existing criteria allowed different types of academic work to be submitted for an academic promotion, especially research or academic work which had clearly contributed or made an impact to society and community. However, problems arose within the university as we could not tell if the academic work really had an impact on the community. There is no publication to prove its worth like normal research. So, I think teaching personnel still think twice if they really want to submit this kind of academic work for promotion...’ (AM-1, 14/08/2014)

4.1.4 Teaching professors or research professors

The issue of whether academic promotion in higher education institutions must be limited to only teaching personnel who are doing research, or promotion can be extended to those who are focusing primarily on teaching remains controversial. The current evaluation criteria for academic promotion in Thailand rely tremendously on the excellence indicators in research as seen in the requirements for submission of research work. On the other hand, the teaching requirement is more easily met by those with a teaching workload on average of one subject per semester. Therefore, the system of academic promotion in Thailand is still heavily dependent on the research measurement. In other words, research excellence is the manifestation of quality in higher education in the country.

However, there is a certain group of teaching personnel whose main function and preference is to teach and not to do research. In Mahidol University, the group can be found in the medical profession, where the main priority of the teaching personnel was to teach and provide medical services in university hospitals. Teaching personnel in this group constantly puts pressure on their administrations, and raises the issue at the national level to differentiate the criteria for academic promotion between teaching and research professors as their contributions to the body of knowledge and academia is not limited to research, but to their teaching and classroom and learning activities. As summarized by a medical doctor:

‘...I prefer teaching medical students rather than doing research and I hope that those concerned with the evaluation criteria take note of the fact. Lecturing and being a medical doctor in a university hospital, already consume[s] much of our time. But we are happy to do that. I guess people are different. Some like me enjoy myself by treating people and teaching. This does not make me any less of a teacher or a medical doctor only because I do not have the will to pursue academic ranks...’ (PL-6, 16/08/2014)

CONCLUDING REMARKS

THIS RESEARCH provides a view of the landscape of academic promotion of teaching personnel in research intensive universities in Thailand. Experiences and lessons have been drawn from Mahidol University as a representative of the nine research universities because of its number of personnel and the number of teaching personnel obtaining academic positions. Following the country's adoption of the Autonomous University Act, higher education institutions have gone through the so-called 'two-tier system' of having both government officials and university employees as teaching personnel. Apart from the Autonomous University Act, the national policy relating to the management of human resources relies on several other laws, including the 2004 and 2008 University Personnel Act, the Draft University Personnel Administration Act and the 2007 Administration of Higher Education Institution Internal Affairs Act. Despite the diversity of higher education institutions in Thailand, these laws have clearly outlined common practices in terms of the category of higher education personnel, positions of teaching personnel, rights, general rules and regulations.

At public higher education institutions, these guidelines, rules and regulations are usually followed. For autonomous universities, each of them use these guidelines as a minimum set of standards and usually add more requirements to suit the mission of their institution. Therefore, the Autonomous University Act, which is promulgated for each specific university, is the most important law for the governance of the university. University rules and regulations, in alignment with the Autonomous University Law, are translated into internal practices which cannot be lower than the guidelines of standards set

by the national laws. As of now, Thailand has promulgated sixteen Autonomous University Acts and most of them are research-intensive universities.

In terms of the structure and criteria for academic promotion in research-intensive universities, the structure and system has been guided by the University Personnel Act and the General Guideline for the Evaluation Criteria for Academic Promotion. The ranks include professors, associate professors, assistant professors, lecturers and teaching assistants. While the position of lecturer is acquired automatically upon recruitment, each rank above that requires different sets of submission and evaluation criteria. The basic requirements of submission include teaching experience or length of employment, teaching load, research and academic work, and ethical criteria for academics. These criteria are set at the national level, as mentioned above, by the Civil Service Committee for Higher Education Personnel through the 2007 Evaluation Criteria for Academic Promotion and its amended version in 2013. The Guideline has set the role of the Committee for Academic Promotion in each institution, the process of submission, which may differ from institution to institution, and the criteria for academic promotion as elaborated in sections 3.2-3.4. The national criteria set minimum guidelines, from which each institution can add more requirements to suit their institutional missions.

Once approved by the higher education institution's council, results of a submission for academic promotion are made known to teaching personnel through formal administrative channels, from the university down to the faculty or college. The overall process can take from six to ten months at Mahidol University, and up to a few years in some particular cases. A delay in processing a submission can be a result of a lack of a strong internal unit assigned to screen the submission, a mismatch between the field of the teaching personnel submitting for the promotion and the readers, and a lack of proper incentives or penalties for academic promotion submissions. An appeal process is open for teaching personnel and takes place within the university. It is usually considered final after a second appeal. Further appeals can be pursued at the level of the Office of Higher Education Commission, but this kind of appeal is rare.

There have been issues over the evaluation criteria which have been debated among higher education institutions in Thailand, including

ones affecting teaching personnel morale. These include the lowering of the requirement to accommodate a certain segment of higher education institutions to obtain more assistant professors, the subjectivity of the evaluation from experts on the Committee on Academic Promotion, and also the judgment of readers regarding the quality of submitted work. On the flip side, a guideline of the evaluation criteria for academic promotion has proven to be a reliable roadmap for teaching personnel to project their career advancement as they can plan their teaching loads and research responsibilities so as to make a successful application for academic promotion. HEIs can also be used to achieve the institutional mission, especially in terms of the utilization of the pool of human resources. In some institutions, Mahidol University for example, the use of a Talent Management scheme mentioned in 4.1.3, which is applied to all newly recruited lecturers, guarantees an increase in assistant professors in the foreseeable future. The link between academic promotion and performance is also a way to ensure the institutional mission to increase the number of academic promotions among teaching personnel.

Nevertheless, challenges and tensions for the policy towards academic promotion are also evident in many respects. The first tension is on the criteria on quality and type of academic work which does not reflect the genuine mission and performance of higher education institutions. The general guideline has long been thought to be in favour of research (public) universities. This complaint has led to a change of the criteria in the recent set of guidelines which is now being criticized as being in favour of non-research-intensive universities. Public universities or research-intensive universities tend to increase requirements to sustain the quality of professorships, but the debate has begged the question as to whether the general criteria should be more neutral, taking into account of both quality and identity of HEIs across the country. Another challenge causes less tension, but it still reflects how teaching personnel view academic promotion as an end in itself and may opt for only the academic path without considering spending time in administrative posts. The third contentious debate and challenge is the link of academic promotion with performance. Criticism has been voiced by a certain group of teaching personnel, especially young lecturers, who are of the opinion that the pressure on the amount of time to produce academic work to submit for promotion limits freedom, a value supposedly to be the main priority of an academic. Some young lecturers may opt for an easy path to obtain rank by doing

research which does not reflect their expertise or specialization, such as classroom research. The final tension among HEIs in Thailand at present is the issue of whether academic promotion must be reserved only for teaching personnel who are conducting research. Some are focusing on teaching, especially medical doctors or those in non-research-intensive universities, and these workloads should also be counted toward, and not in replacement of, academic work.

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APPENDIX:
UNESCO RECOMMENDATION
CONCERNING THE STATUS OF
HIGHER-EDUCATION
TEACHING PERSONNEL
(1997 RECOMMENDATION)

UNESCO

Resolution adopted on the report of Commission II at the
26th plenary meeting, on 11 November 1997.

The General Conference,

Having examined document 29 C/12, containing the draft recommendation concerning the Status of Higher-Education Teaching Personnel, *Approves* the said Recommendation in accordance with Articles 11 and 12 of the Rules of Procedure concerning recommendations to Member States and international conventions covered by the terms of Article IV, paragraph 4, of the Constitution.

Annex: Recommendation concerning the Status of Higher-Education Teaching Personnel

Preamble

The General Conference of the United Nations Educational, Scientific and Cultural Organization (UNESCO), meeting in Paris from 21 October to 12 November 1997, at its 29th session,

Conscious of the responsibility of states for the provision of education for all in fulfilment of Article 26 of the Universal Declaration of Human Rights (1948),

Recalling in particular the responsibility of the states for the provision of higher education in fulfilment of Article 13, paragraph 1(c), of the International Covenant on Economic, Social and Cultural Rights (1966),

Conscious that higher education and research are instrumental in the pursuit, advancement and transfer of knowledge and constitute an exceptionally rich cultural and scientific asset,

Also conscious that governments and important social groups, such as students, industry and labour, are vitally interested in and benefit from the services and outputs of the higher education systems,

Recognizing the decisive role of higher- education teaching personnel in the advancement of higher education, and the importance of their contribution to the development of humanity and modern society,

Convinced that higher-education teaching personnel, like all other citizens, are expected to endeavour to enhance the observance in society of the cultural, economic, social, civil and political rights of all peoples,

Aware of the need to reshape higher education to meet social and economic changes and for higher-education teaching personnel to participate in this process,

Expressing concern regarding the vulnerability of the academic community to untoward political pressures which could undermine academic freedom,

Considering that the right to education, teaching and research can only be fully enjoyed in an atmosphere of academic freedom and autonomy for institutions of higher education and that the open communication of findings, hypotheses and opinions lies at the very heart of higher education and provides the strongest guarantee of the accuracy and objectivity of scholarship and research,

Concerned to ensure that higher-education teaching personnel enjoy the status commensurate with this role,

Recognizing the diversity of cultures in the world,

Taking into account the great diversity of the laws, regulations, practices and traditions which, in different countries, determine the patterns and organization of higher education,

Mindful of the diversity of arrangements which apply to higher-education teaching personnel in different countries, in particular according to whether the regulations concerning the public service apply to them,

Convinced nevertheless that similar questions arise in all countries with regard to the status of higher-education teaching personnel and that these questions call for the adoption of common approaches and so far as practicable the application of common standards which it is the purpose of this Recommendation to set out,

Bearing in mind such instruments as the UNESCO Convention against Discrimination in Education (1960), which recognizes that UNESCO has a duty not only to proscribe any form of discrimination in education, but also to promote equality of opportunity and treatment for all in education at all levels, including the conditions under which it is given, as well as the Recommendation concerning the Status of Teachers (1966) and the UNESCO Recommendation on the Status of Scientific Researchers (1974), as well as the instruments of the International Labour Organization on freedom of association and the right to organize and to collective bargaining and on equality of

opportunity and treatment,

Desiring to complement existing conventions, covenants and recommendations contained in international standards set out in the appendix with provisions relating to problems of particular concern to higher education institutions and their teaching and research personnel,

Adopts the present Recommendation on 11 November 1997.

I. Definitions

1. For the purpose of this Recommendation:
 - a. ‘higher education’ means programmes of study, training or training for research at the post-secondary level provided by universities or other educational establishments that are approved as institutions of higher education by the competent state authorities, and/or through recognized accreditation systems;
 - b. ‘research’, within the context of higher education, means original scientific, technological and engineering, medical, cultural, social and human science or educational research which implies careful, critical, disciplined inquiry, varying in technique and method according to the nature and conditions of the problems identified, directed towards the clarification and/or resolution of the problems, and when within an institutional framework, supported by an appropriate infrastructure;
 - c. ‘scholarship’ means the processes by which higher-education teaching personnel keep up to date with their subject, engage in scholarly editing, disseminate their work and improve their pedagogical skills as teachers in their discipline and upgrade their academic credentials;
 - d. ‘extension work’ means a service by which the resources of an educational institution are extended beyond its confines to serve a widely diversified community within the state or region regarded as the constituent area of the institution, so long as this work does not contradict the mission of the institution. In teaching it may include a wide range of activities such as extramural, lifelong and distance education delivered through evening classes, short courses, seminars and

institutes. In research it may lead to the provision of expertise to the public, private and non-profit sectors, various types of consultation, and participation in applied research and in implementing research results;

- e. ‘institutions of higher education’ means universities, other educational establishments, centres and structures of higher education, and centres of research and culture associated with any of the above, public or private, that are approved as such either through recognized accreditation systems or by the competent state authorities;
- f. ‘higher-education teaching personnel’ means all those persons in institutions or programmes of higher education who are engaged to teach and/or to undertake scholarship and/or to undertake research and/or to provide educational services to students or to the community at large.

II. Scope

- 2. This Recommendation applies to all higher-education teaching personnel.

III. Guiding principles

- 3. The global objectives of international peace, understanding, cooperation and sustainable development pursued by each Member State and by the United Nations require, *inter alia*, education for peace and in the culture of peace, as defined by UNESCO, as well as qualified and cultivated graduates of higher education institutions, capable of serving the community as responsible citizens and undertaking effective scholarship and advanced research and, as a consequence, a corps of talented and highly qualified higher-education teaching personnel.
- 4. Institutions of higher education, and more particularly universities, are communities of scholars preserving, disseminating and expressing freely their opinions on traditional knowledge and culture, and pursuing new knowledge without constriction by prescribed doctrines. The pursuit of new knowledge and its application lie at the heart of the mandate of such institutions of higher education. In higher education institutions where original

research is not required, higher-education teaching personnel should maintain and develop knowledge of their subject through scholarship and improved pedagogical skills.

5. Advances in higher education, scholarship and research depend largely on infrastructure and resources, both human and material, and on the qualifications and expertise of higher-education teaching personnel as well as on their human, pedagogical and technical qualities, underpinned by academic freedom, professional responsibility, collegiality and institutional autonomy.
6. Teaching in higher education is a profession: it is a form of public service that requires of higher education personnel expert knowledge and specialized skills acquired and maintained through rigorous and lifelong study and research; it also calls for a sense of personal and institutional responsibility for the education and welfare of students and of the community at large and for a commitment to high professional standards in scholarship and research.
7. Working conditions for higher-education teaching personnel should be such as will best promote effective teaching, scholarship, research and extension work and enable higher-education teaching personnel to carry out their professional tasks.
8. Organizations which represent higher-education teaching personnel should be considered and recognized as a force which can contribute greatly to educational advancement and which should, therefore, be involved, together with other stakeholders and interested parties, in the determination of higher education policy.
9. Respect should be shown for the diversity of higher education institution systems in each Member State in accordance with its national laws and practices as well as with international standards.

IV. Educational objectives and policies

10. At all appropriate stages of their national planning in general, and of their planning for higher education in particular, Member States should take all necessary measures to ensure that:
 - a. higher education is directed to human development and to the progress of society;

- b. higher education contributes to the achievement of the goals of lifelong learning and to the development of other forms and levels of education;
 - c. where public funds are appropriated for higher education institutions, such funds are treated as a public investment, subject to effective public accountability;
 - d. the funding of higher education is treated as a form of public investment the returns on which are, for the most part, necessarily long term, subject to government and public priorities;
 - e. the justification for public funding is held constantly before public opinion.
11. Higher-education teaching personnel should have access to libraries which have up-to-date collections reflecting diverse sides of an issue, and whose holdings are not subject to censorship or other forms of intellectual interference. They should also have access, without censorship, to international computer systems, satellite programmes and databases required for their teaching, scholarship or research.
 12. The publication and dissemination of the research results obtained by higher-education teaching personnel should be encouraged and facilitated with a view to assisting them to acquire the reputation which they merit, as well as with a view to promoting the advancement of science, technology, education and culture generally. To this end, higher-education teaching personnel should be free to publish the results of research and scholarship in books, journals and databases of their own choice and under their own names, provided they are the authors or co-authors of the above scholarly works. The intellectual property of higher-education teaching personnel should benefit from appropriate legal protection, and in particular the protection afforded by national and international copyright law.
 13. The interplay of ideas and information among higher-education teaching personnel throughout the world is vital to the healthy development of higher education and research and should be actively promoted. To this end higher-education teaching personnel should be enabled throughout their careers to participate in international gatherings on higher education or research, to travel abroad without political restrictions and to use the Internet or video-conferencing for these purposes.

14. Programmes providing for the broadest exchange of higher-education teaching personnel between institutions, both nationally and internationally, including the organization of symposia, seminars and collaborative projects, and the exchange of educational and scholarly information should be developed and encouraged. The extension of communications and direct contacts between universities, research institutions and associations as well as among scientists and research workers should be facilitated, as should access by higher- education teaching personnel from other states to open information material in public archives, libraries, research institutes and similar bodies.
15. Member States and higher education institutions should, nevertheless, be conscious of the exodus of higher-education teaching personnel from the developing countries and, in particular, the least developed ones. They should, therefore, encourage aid programmes to the developing countries to help sustain an academic environment which offers satisfactory conditions of work for higher-education teaching personnel in those countries, so that this exodus may be contained and ultimately reversed.
16. Fair, just and reasonable national policies and practices for the recognition of degrees and of credentials for the practice of the higher education profession from other states should be established that are consistent with the UNESCO Recommendation on the Recognition of Studies and Qualifications in Higher Education of 1993.

V. Institutional rights, duties and responsibilities

A. Institutional autonomy

17. The proper enjoyment of academic freedom and compliance with the duties and responsibilities listed below require the autonomy of institutions of higher education. Autonomy is that degree of self-governance necessary for effective decision- making by institutions of higher education regarding their academic work, standards, management and related activities consistent with systems of public accountability, especially in respect of funding provided by the state, and respect for academic freedom and

human rights. However, the nature of institutional autonomy may differ according to the type of establishment involved.

18. Autonomy is the institutional form of academic freedom and a necessary precondition to guarantee the proper fulfilment of the functions entrusted to higher-education teaching personnel and institutions.
19. Member States are under an obligation to protect higher education institutions from threats to their autonomy coming from any source.
20. Autonomy should not be used by higher education institutions as a pretext to limit the rights of higher-education teaching personnel provided for in this Recommendation or in other international standards set out in the appendix.
21. Self-governance, collegiality and appropriate academic leadership are essential components of meaningful autonomy for institutions of higher education.

B. Institutional accountability

22. In view of the substantial financial investments made, Member States and higher education institutions should ensure a proper balance between the level of autonomy enjoyed by higher education institutions and their systems of accountability. Higher education institutions should endeavour to open their governance in order to be accountable. They should be accountable for:
 - a. effective communication to the public concerning the nature of their educational mission;
 - b. a commitment to quality and excellence in their teaching, scholarship and research functions, and an obligation to protect and ensure the integrity of their teaching, scholarship and research against intrusions inconsistent with their academic missions;
 - c. effective support of academic freedom and fundamental human rights;
 - d. ensuring high quality education for as many academically qualified individuals as possible subject to the constraints of the resources available to them;

- e. a commitment to the provision of opportunities for lifelong learning, consistent with the mission of the institution and the resources provided;
- f. ensuring that students are treated fairly and justly, and without discrimination;
- g. adopting policies and procedures to ensure the equitable treatment of women and minorities and to eliminate sexual and racial harassment;
- h. ensuring that higher education personnel are not impeded in their work in the classroom or in their research capacity by violence, intimidation or harassment;
- i. honest and open accounting;
- j. efficient use of resources;
- k. the creation, through the collegial process and/or through negotiation with organizations representing higher-education teaching personnel, consistent with the principles of academic freedom and freedom of speech, of statements or codes of ethics to guide higher education personnel in their teaching, scholarship, research and extension work;
- l. assistance in the fulfilment of economic, social, cultural and political rights while striving to prevent the use of knowledge, science and technology to the detriment of those rights, or for purposes which run counter to generally accepted academic ethics, human rights and peace;
- m. ensuring that they address themselves to the contemporary problems facing society; to this end, their curricula, as well as their activities, should respond, where appropriate, to the current and future needs of the local community and of society at large, and they should play an important role in enhancing the labour market opportunities of their graduates;
- n. encouraging, where possible and appropriate, international academic co-operation which transcends national, regional, political, ethnic and other barriers, striving to prevent the scientific and technological exploitation of one state by another, and promoting equal partnership of all the academic communities of the world in the pursuit and use of knowledge and the preservation of cultural heritages;

- o. ensuring up-to-date libraries and access, without censorship, to modern teaching, research and information resources providing information required by higher-education teaching personnel or by students for teaching, scholarship or research;
 - p. ensuring the facilities and equipment necessary for the mission of the institution and their proper upkeep;
 - q. ensuring that when engaged in classified research it will not contradict the educational mission and objectives of the institutions and will not run counter to the general objectives of peace, human rights, sustainable development and environment.
23. Systems of institutional accountability should be based on a scientific methodology and be clear, realistic, cost-effective and simple. In their operation they should be fair, just and equitable. Both the methodology and the results should be open.
24. Higher education institutions, individually or collectively, should design and implement appropriate systems of accountability, including quality assurance mechanisms to achieve the above goals, without harming institutional autonomy or academic freedom. The organizations representing higher-education teaching personnel should participate, where possible, in the planning of such systems. Where state-mandated structures of accountability are established, their procedures should be negotiated, where applicable, with the institutions of higher education concerned and with the organizations representing higher-education teaching personnel.

VI. Rights and freedoms of teaching personnel

A. Individual rights and freedoms: civil rights, academic freedom, publication rights, and the international exchange of information

25. Access to the higher education academic profession should be based solely on appropriate academic qualifications, competence and experience and be equal for all members of society without any discrimination.

26. Higher-education teaching personnel, like all other groups and individuals, should enjoy those internationally recognized civil, political, social and cultural rights applicable to all citizens. Therefore, all higher-education teaching personnel should enjoy freedom of thought, conscience, religion, expression, assembly and association as well as the right to liberty and security of the person and liberty of movement. They should not be hindered or impeded in exercising their civil rights as citizens, including the right to contribute to social change through freely expressing their opinion of state policies and of policies affecting higher education. They should not suffer any penalties simply because of the exercise of such rights. Higher-education teaching personnel should not be subject to arbitrary arrest or detention, nor to torture, nor to cruel, inhuman or degrading treatment. In cases of gross violation of their rights, higher-education teaching personnel should have the right to appeal to the relevant national, regional or international bodies such as the agencies of the United Nations, and organizations representing higher-education teaching personnel should extend full support in such cases.
27. The maintaining of the above international standards should be upheld in the interest of higher education internationally and within the country. To do so, the principle of academic freedom should be scrupulously observed. Higher-education teaching personnel are entitled to the maintaining of academic freedom, that is to say, the right, without constriction by prescribed doctrine, to freedom of teaching and discussion, freedom in carrying out research and disseminating and publishing the results thereof, freedom to express freely their opinion about the institution or system in which they work, freedom from institutional censorship and freedom to participate in professional or representative academic bodies. All higher-education teaching personnel should have the right to fulfil their functions without discrimination of any kind and without fear of repression by the state or any other source. Higher-education teaching personnel can effectively do justice to this principle if the environment in which they operate is conducive, which requires a democratic atmosphere; hence the challenge for all of developing a democratic society.
28. Higher-education teaching personnel have the right to teach without any interference, subject to accepted professional principles

including professional responsibility and intellectual rigour with regard to standards and methods of teaching. Higher-education teaching personnel should not be forced to instruct against their own best knowledge and conscience or be forced to use curricula and methods contrary to national and international human rights standards. Higher- education teaching personnel should play a significant role in determining the curriculum.

29. Higher-education teaching personnel have a right to carry out research work without any interference, or any suppression, in accordance with their professional responsibility and subject to nationally and internationally recognized professional principles of intellectual rigour, scientific inquiry and research ethics. They should also have the right to publish and communicate the conclusions of the research of which they are authors or co-authors, as stated in paragraph 12 of this Recommendation.
30. Higher-education teaching personnel have a right to undertake professional activities outside of their employment, particularly those that enhance their professional skills or allow for the application of knowledge to the problems of the community, provided such activities do not interfere with their primary commitments to their home institutions in accordance with institutional policies and regulations or national laws and practice where they exist.

B. Self-governance and collegiality

31. Higher-education teaching personnel should have the right and opportunity, without discrimination of any kind, according to their abilities, to take part in the governing bodies and to criticize the functioning of higher education institutions, including their own, while respecting the right of other sections of the academic community to participate, and they should also have the right to elect a majority of representatives to academic bodies within the higher education institution.
32. The principles of collegiality include academic freedom, shared responsibility, the policy of participation of all concerned in internal decision-making structures and practices, and the development of consultative mechanisms. Collegial decision-making should encompass decisions regarding the administration and

determination of policies of higher education, curricula, research, extension work, the allocation of resources and other related activities, in order to improve academic excellence and quality for the benefit of society at large.

VII. Duties and responsibilities of higher-education teaching personnel

33. Higher-education teaching personnel should recognize that the exercise of rights carries with it special duties and responsibilities, including the obligation to respect the academic freedom of other members of the academic community and to ensure the fair discussion of contrary views. Academic freedom carries with it the duty to use that freedom in a manner consistent with the scholarly obligation to base research on an honest search for truth. Teaching, research and scholarship should be conducted in full accordance with ethical and professional standards and should, where appropriate, respond to contemporary problems facing society as well as preserve the historical and cultural heritage of the world.
34. In particular, the individual duties of higher- education teaching personnel inherent in their academic freedom are:
 - a. to teach students effectively within the means provided by the institution and the state, to be fair and equitable to male and female students and treat those of all races and religions, as well as those with disabilities, equally, to encourage the free exchange of ideas between themselves and their students, and to be available to them for guidance in their studies. Higher-education teaching personnel should ensure, where necessary, that the minimum content defined in the syllabus for each subject is covered;
 - b. to conduct scholarly research and to disseminate the results of such research or, where original research is not required, to maintain and develop their knowledge of their subject through study and research, and through the development of teaching methodology to improve their pedagogical skills;
 - c. to base their research and scholarship on an honest search for knowledge with due respect for evidence, impartial reasoning

and honesty in reporting;

- d.** to observe the ethics of research involving humans, animals, the heritage or the environment;
- e.** to respect and to acknowledge the scholarly work of academic colleagues and students and, in particular, to ensure that authorship of published works includes all who have materially contributed to, and share responsibility for, the contents of a publication;
- f.** to refrain from using new information, concepts or data that were originally obtained as a result of access to confidential manuscripts or applications for funds for research or training that may have been seen as the result of processes such as peer review, unless the author has given permission;
- g.** to ensure that research is conducted according to the laws and regulations of the state in which the research is carried out, that it does not violate international codes of human rights, and that the results of the research and the data on which it is based are effectively made available to scholars and researchers in the host institution, except where this might place respondents in peril or where anonymity has been guaranteed;
- h.** to avoid conflicts of interest and to resolve them through appropriate disclosure and full consultation with the higher education institution employing them, so that they have the approval of the aforesaid institution;
- i.** to handle honestly all funds entrusted to their care for higher education institutions for research or for other professional or scientific bodies;
- j.** to be fair and impartial when presenting a professional appraisal of academic colleagues and students;
- k.** to be conscious of a responsibility, when speaking or writing outside scholarly channels on matters which are not related to their professional expertise, to avoid misleading the public on the nature of their professional expertise;

- I. to undertake such appropriate duties as are required for the collegial governance of institutions of higher education and of professional bodies.
35. Higher-education teaching personnel should seek to achieve the highest possible standards in their professional work, since their status largely depends on themselves and the quality of their achievements.
36. Higher-education teaching personnel should contribute to the public accountability of higher education institutions without, however, forfeiting the degree of institutional autonomy necessary for their work, for their professional freedom and for the advancement of knowledge.

VIII. Preparation for the profession

37. Policies governing access to preparation for a career in higher education rest on the need to provide society with an adequate supply of higher-education teaching personnel who possess the necessary ethical, intellectual and teaching qualities and who have the required professional knowledge and skills.
38. All aspects of the preparation of higher-education teaching personnel should be free from any form of discrimination.
39. Amongst candidates seeking to prepare for a career in higher education, women and members of minorities with equal academic qualifications and experience should be given equal opportunities and treatment.

IX. Terms and conditions of employment

A. Entry into the academic profession

40. The employers of higher-education teaching personnel should establish such terms and conditions of employment as will be most conducive for effective teaching and/or research and/or scholarship and/or extension work and will be fair and free from discrimination of any kind.
41. Temporary measures aimed at accelerating de facto equality for disadvantaged members of the academic community should not be considered discriminatory, provided that these measures are

discontinued when the objectives of equality of opportunity and treatment have been achieved and systems are in place to ensure the continuance of equality of opportunity and treatment.

42. A probationary period on initial entry to teaching and research in higher education is recognized as the opportunity for the encouragement and helpful initiation of the entrant and for the establishment and maintenance of proper professional standards, as well as for the individual's own development of his/her teaching and research proficiency. The normal duration of probation should be known in advance and the conditions for its satisfactory completion should be strictly related to professional competence. If such candidates fail to complete their probation satisfactorily, they should have the right to know the reasons and to receive this information sufficiently in advance of the end of the probationary period to give them a reasonable opportunity to improve their performance. They should also have the right to appeal.
43. Higher-education teaching personnel should enjoy:
 - a. a just and open system of career development including fair procedures for appointment, tenure where applicable, promotion, dismissal, and other related matters;
 - b. an effective, fair and just system of labour relations within the institution, consistent with the international standards set out in the appendix.
44. There should be provisions to allow for solidarity with other institutions of higher education and with their higher-education teaching personnel when they are subject to persecution. Such solidarity may be material as well as moral and should, where possible, include refuge and employment or education for victims of persecution.

B. Security of employment

45. Tenure or its functional equivalent, where applicable, constitutes one of the major procedural safeguards of academic freedom and against arbitrary decisions. It also encourages individual responsibility and the retention of talented higher-education teaching personnel.

46. Security of employment in the profession, including tenure or its functional equivalent, where applicable, should be safeguarded as it is essential to the interests of higher education as well as those of higher-education teaching personnel. It ensures that higher-education teaching personnel who secure continuing employment following rigorous evaluation can only be dismissed on professional grounds and in accordance with due process. They may also be released for *bona fide* financial reasons, provided that all the financial accounts are open to public inspection, that the institution has taken all reasonable alternative steps to prevent termination of employment, and that there are legal safeguards against bias in any termination of employment procedure. Tenure or its functional equivalent, where applicable, should be safeguarded as far as possible even when changes in the organization of or within a higher education institution or system are made, and should be granted, after a reasonable period of probation, to those who meet stated objective criteria in teaching, and/or scholarship, and/or research to the satisfaction of an academic body, and/or extension work to the satisfaction of the institution of higher education.

C. Appraisal

47. Higher education institutions should ensure that:
- a. evaluation and assessment of the work of higher-education teaching personnel are an integral part of the teaching, learning and research process, and that their major function is the development of individuals in accordance with their interests and capacities;
 - b. evaluation is based only on academic criteria of competence in research, teaching and other academic or professional duties as interpreted by academic peers;
 - c. evaluation procedures take due account of the difficulty inherent in measuring personal capacity, which seldom manifests itself in a constant and unfluctuating manner;
 - d. where evaluation involves any kind of direct assessment of the work of higher-education teaching personnel, by students and/or fellow colleagues and/or administrators, such assessment is objective and the criteria and the results are made known to the individual(s) concerned;

- e. the results of appraisal of higher-education teaching personnel are also taken into account when establishing the staffing of the institution and considering the renewal of employment;
- f. higher-education teaching personnel have the right to appeal to an impartial body against assessments which they deem to be unjustified.

D. Discipline and dismissal

- 48. No member of the academic community should be subject to discipline, including dismissal, except for just and sufficient cause demonstrable before an independent third-party hearing of peers, and/or before an impartial body such as arbitrators or the courts.
- 49. All members of higher-education teaching personnel should enjoy equitable safeguards at each stage of any disciplinary procedure, including dismissal, in accordance with the international standards set out in the appendix.
- 50. Dismissal as a disciplinary measure should only be for just and sufficient cause related to professional conduct, for example: persistent neglect of duties, gross incompetence, fabrication or falsification of research results, serious financial irregularities, sexual or other misconduct with students, colleagues, or other members of the academic community or serious threats thereof, or corruption of the educational process such as by falsifying grades, diplomas or degrees in return for money, sexual or other favours or by demanding sexual, financial or other material favours from subordinate employees or colleagues in return for continuing employment.
- 51. Individuals should have the right to appeal against the decision to dismiss them before independent, external bodies such as arbitrators or the courts, with final and binding powers.

E. Negotiation of terms and conditions of employment

- 52. Higher-education teaching personnel should enjoy the right to freedom of association, and this right should be effectively promoted. Collective bargaining or an equivalent procedure should be promoted in accordance with the standards of the International Labour Organization (ILO) set out in the appendix.

53. Salaries, working conditions and all matters related to the terms and conditions of employment of higher-education teaching personnel should be determined through a voluntary process of negotiation between organizations representing higher-education teaching personnel and the employers of higher- education teaching personnel, except where other equivalent procedures are provided that are consistent with international standards.
54. Appropriate machinery, consistent with national laws and international standards, should be established by statute or by agreement whereby the right of higher-education teaching personnel to negotiate through their organizations with their employers, whether public or private, is assured. Such legal and statutory rights should be enforceable through an impartial process without undue delay.
55. If the process established for these purposes is exhausted or if there is a breakdown in negotiations between the parties, organizations of higher-education teaching personnel should have the right to take such other steps as are normally open to other organizations in the defence of their legitimate interests.
56. Higher-education teaching personnel should have access to a fair grievance and arbitration pro- cedure, or the equivalent, for the settlement of disputes with their employers arising out of terms and conditions of employment.

F. Salaries, workload, social security benefits, health and safety

57. All financially feasible measures should be taken to provide higher-education teaching personnel with remuneration such that they can devote themselves satisfactorily to their duties and allocate the necessary amount of time for the continuing training and periodic renewal of knowledge and skills that are essential at this level of teaching.
58. The salaries of higher-education teaching per- sonnel should:
 - a. reflect the importance to society of higher education and hence the importance of higher-education teaching personnel as well as the different responsibilities which fall to them from the time of their entry into the profession;

- b.** be at least comparable to salaries paid in other occupations requiring similar or equivalent qualifications;
 - c.** provide higher-education teaching personnel with the means to ensure a reasonable standard of living for themselves and their families, as well as to invest in further education or in the pursuit of cultural or scientific activities, thus enhancing their professional qualifications;
 - d.** take account of the fact that certain posts require higher qualifications and experience and carry greater responsibilities;
 - e.** be paid regularly and on time;
 - f.** be reviewed periodically to take into account such factors as a rise in the cost of living, increased productivity leading to higher standards of living, or a general upward movement in wage or salary levels.
- 59.** Salary differentials should be based on objective criteria.
- 60.** Higher-education teaching personnel should be paid on the basis of salary scales established in agreement with organizations representing higher-education teaching personnel, except where other equivalent procedures consistent with international standards are provided. During a probationary period or if employed on a temporary basis qualified higher-education teaching personnel should not be paid on a lower scale than that laid down for established higher-education teaching personnel at the same level.
- 61.** A fair and impartial merit-rating system could be a means of enhancing quality assurance and quality control. Where introduced and applied for purposes of salary determination it should involve prior consultation with organizations representing higher-education teaching personnel.
- 62.** The workload of higher-education teaching personnel should be fair and equitable, should permit such personnel to carry out effectively their duties and responsibilities to their students as well as their obligations in regard to scholarship, research and/or academic administration, should provide due consideration in terms of salary for those who are required to teach beyond their regular workload, and should be negotiated with the organizations representing higher-education teaching personnel, except where

other equivalent procedures consistent with international standards are provided.

63. Higher-education teaching personnel should be provided with a work environment that does not have a negative impact on or affect their health and safety and they should be protected by social security measures, including those concerning sickness and disability and pension entitlements, and measures for the protection of health and safety in respect of all contingencies included in the conventions and recommendations of ILO. The standards should be at least as favourable as those set out in the relevant conventions and recommendations of ILO. Social security benefits for higher-education teaching personnel should be granted as a matter of right.
64. The pension rights earned by higher-education teaching personnel should be transferable nationally and internationally, subject to national, bilateral and multilateral taxation laws and agreements, should the individual transfer to employment with another institution of higher education. Organizations representing higher- education teaching personnel should have the right to choose representatives to take part in the governance and administration of pension plans designed for higher-education teaching personnel where applicable, particularly those which are private and contributory.

G. Study and research leave and annual holidays

65. Higher-education teaching personnel should be granted study and research leave, such as sabbatical leave, on full or partial pay, where applicable, at regular intervals.
66. The period of study or research leave should be counted as service for seniority and pension purposes, subject to the provisions of the pension plan.
67. Higher-education teaching personnel should be granted occasional leave with full or partial pay to enable them to participate in professional activities.
68. Leave granted to higher-education teaching personnel within the framework of bilateral and multilateral cultural and scientific exchanges or technical assistance programmes abroad should be considered as service, and their seniority and eligibility for

promotion and pension rights in their home institutions should be safeguarded. In addition, special arrangements should be made to cover their extra expenses.

69. Higher-education teaching personnel should enjoy the right to adequate annual vacation with full pay.

H. Terms and conditions of employment of women higher-education teaching personnel

70. All necessary measures should be taken to promote equality of opportunity and treatment of women higher-education teaching personnel in order to ensure, on the basis of equality between men and women, the rights recognized by the international standards set out in the appendix.

I. Terms and conditions of employment of disabled higher-education teaching personnel

71. All necessary measures should be taken to ensure that the standards set with regard to the conditions of work of higher-education teaching personnel who are disabled are, as a minimum, consistent with the relevant provisions of the international standards set out in the appendix.

J. Terms and conditions of employment of part-time higher-education teaching personnel

72. The value of the service provided by qualified part-time higher-education teaching personnel should be recognized. Higher-education teaching personnel employed regularly on a part-time basis should:
- a. receive proportionately the same remuneration as higher-education teaching personnel employed on a full-time basis and enjoy equivalent basic conditions of employment;
 - b. benefit from conditions equivalent to those of higher-education teaching personnel employed on a full-time basis as regards holidays with pay, sick leave and maternity leave; the relevant pecuniary entitlements should be determined in proportion to hours of work or earnings;

- c. be entitled to adequate and appropriate social security protection, including, where applicable, coverage under employers' pension schemes.

X. Utilization and implementation

73. Member States and higher education institutions should take all feasible steps to extend and complement their own action in respect of the status of higher-education teaching personnel by encouraging co-operation with and among all national and international governmental and non-governmental organizations whose activities fall within the scope and objectives of this Recommendation.
74. Member States and higher education institutions should take all feasible steps to apply the provisions spelled out above to give effect, within their respective territories, to the principles set forth in this Recommendation.
75. The Director-General will prepare a comprehensive report on the world situation with regard to academic freedom and to respect for the human rights of higher-education teaching personnel on the basis of the information supplied by Member States and of any other information supported by reliable evidence which he/she may have gathered by such methods as he/she may deem appropriate.
76. In the case of a higher education institution in the territory of a state not under the direct or indirect authority of that state but under separate and independent authorities, the relevant authorities should transmit the text of this Recommendation to institutions, so that such institutions can put its provisions into practice.

XI. Final provision

77. Where higher-education teaching personnel enjoy a status which is, in certain respects, more favourable than that provided for in this Recommendation, the terms of this Recommendation should not be invoked to diminish the status already recognized.

Appendix

United Nations

- Universal Declaration of Human Rights, 1948;
- Declaration concerning the Promotion among Youth of the Ideals of Peace, Mutual Respect and Understanding between Peoples, 1965;
- International Convention on the Elimination of All Forms of Racial Discrimination, 1965;
- International Covenant on Economic, Social and Cultural Rights, 1966;
- International Covenant on Civil and Political Rights and Protocol thereto, 1966;
- Declaration on the Protection of All Persons from Being Subject to Torture and Other Cruel and Inhuman or Degrading Treatment or Punishment, 1975;
- Declaration on the Rights of Disabled Persons, 1975;
- Convention on the Elimination of All Forms of Discrimination against Women, 1979;
- Declaration on the Elimination of All Forms of Intolerance and of Discrimination Based on Religion or Belief, 1981;
- Convention against Torture and Other Cruel, Inhuman and Degrading Treatment or Punishment, 1984.

United Nations Educational, and Cultural Organization

- Convention against Discrimination in Education, 1960, and Protocol thereto, 1962;
- Recommendation against Discrimination in Education, 1960;
- Recommendation on Education for International Understanding and Co-operation and Peace and Education relating to Human Rights and Fundamental Freedoms, 1974;
- Recommendation on the Status of Scientific Researchers, 1974;

- Revised Recommendation concerning Technical and Vocational Education, 1974;
- Declaration on Race and Racial Prejudice, 1978;
- Convention on Technical/Vocational Education, 1989;
- Recommendation on the Recognition of Studies and Qualifications in Higher Education, 1993.

International Labour Organization

- Convention No. 87: Freedom of Association and Protection of the Right to Organize Convention, 1948;
- Convention No. 95: Protection of Wages Convention, 1949;
- Convention No. 98: Right to Organize and Collective Bargaining Convention, 1949;
- Convention No. 100: Equal Remuneration Convention, 1951;
- Convention No. 102: Social Security (Minimum Standards) Convention, 1952;
- Convention No. 103: Maternity Protection Convention (Revised), 1952;
- Recommendation No. 95: Maternity Protection Recommendation, 1952;
- Convention No. 111: Discrimination (Employment and Occupation) Convention, 1958;
- Convention No. 118: Equality of Treatment (Social Security) Convention, 1962;
- Convention No. 121: Employment Injury Benefits Convention, 1964 [Schedule I amended in 1980];
- Convention No. 128: Invalidity, Old-Age and Survivors Benefit Convention, 1967;
- Recommendation No. 131: Invalidity, Old-Age and Survivors Benefit Recommendation, 1967;
- Convention No. 130: Medical Care and Sickness Benefit Convention, 1969;

- Convention No. 132: Holidays with Pay Convention (Revised), 1970;
- Convention No. 135: Workers' Representatives Convention, 1971;
- Recommendation No. 143: Workers' Representatives Recommendation, 1971;
- Convention No. 140: Paid Educational Leave Convention, 1974;
- Recommendation No. 148: Paid Educational Leave Recommendation, 1974;
- Convention No. 151: Labour Relations (Public Service Convention), 1978;
- Recommendation No. 159: Labour Relations (Public Service) Recommendation, 1978;
- Recommendation No. 162: Older Workers Recommendation, 1980;
- Convention No. 154: Collective Bargaining Convention, 1981;
- Recommendation No. 163: Collective Bargaining Recommendation, 1981;
- Convention No. 156: Workers with Family Responsibilities Convention, 1981;
- Recommendation No. 165: Workers with Family Responsibilities Recommendation, 1981;
- Convention No. 158: Termination of Employment Convention, 1982;
- Convention No. 159: Vocational Rehabilitation and Employment (Disabled Persons) Convention, 1983;
- Recommendation No. 168: Vocational Rehabilitation and Employment (Disabled Persons) Recommendation, 1983.

Other

- Recommendation Teachers adopted by the Special Inter-governmental Conference on the Status of Teachers (convened by UNESCO in co-operation with ILO), Paris, 5 October 1966;

- UNESCO, Universal Copyright Convention, 1952, revised 1971;
- World Intellectual Property Organization, Berne Convention for the Protection of Literary and Artistic Works, Paris Act, 1971, amended in 1979.

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