



Academic Board Agenda

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SUPPLEMENTARY AGENDA for the meeting on Wednesday 11 November 2009

Pages

- ★ 1. **Apologies**
Apologies have been received from:
Professors M Adams, A Boyd, R Magnusson, M Spence, K Walker (Associate Professor A Still attending in her stead) and P Wolnizer, Associate Professors E Blignaut, L Harris and N O'Dwyer, Drs B Jones, D Moses, L Scanlon and T Schofield, Mr P Ball (Mr C Riley attending in his stead), Mr M Kalonikos, Mr J Quilty and Ms R Santos.

- ★ 6. **Report of the Chair** **Appendix B**
 - 6.1 **Report on Senate Matters**
 - 6.1.1 **Report of the Senate meeting held on 2 November 2009** page 4

Recommendation
That the Academic Board note the report of the Chair of the Academic Board on academic matters considered by Senate at its meeting of 2 November 2009.

 - 6.3 **General Report**
 - 6.3.1 **Membership of the Academic Board for 2010** pages 4-5

Recommendation
That the Academic Board:
(1) *note the report on the membership of the Academic Board for 2010; and*
(2) *approve the nominated academic staff and student members from the faculties*
as set out in the report presented.

- ★ 7. **Report of the Vice-Chancellor and Principal**
 - 7.1 **Report on Senate Matters**
 - 7.1.1 **Report of the Senate meeting held on 2 November 2009** page 6

Recommendation
That the Academic Board note the report of the Vice-Chancellor and Principal on matters considered by Senate at its meeting held on 2 November 2009.

7.2 General report

10. Report of the Graduate Studies Committee (Associate Professor Peter McCallum)

Members are asked to note the amended recommendation for the following item:

10.2 Report of the meeting held on 28 October 2009

10.2.1 Proposals for new and amended postgraduate courses

10.2.1.2 Faculty of Medicine: Master of Medicine, Graduate Diploma in Medicine and Graduate Certificate in Medicine

Recommendation

That the Academic Board

- (1) *approve the proposal from the Faculty of Medicine to delete the Dermatology, Interdisciplinary Medicine and Renal Medicine streams from the Master of Medicine, the Graduate Diploma in Medicine and the Graduate Certificate in Medicine;*
- (2) *recommend that Senate:*
 - (a) *endorse the Academic Board's approval of the proposal;*
 - (b) *approve the amendment of the Resolutions of Senate related to the Degrees, Diplomas and Certificates in the Faculty of Medicine; and*
 - (c) *approve the amendment of the Resolutions of Senate related to the courses;*
- (3) *approve the amendments to the Faculty Resolutions related to the courses with effect from 1 January 2010, as set out in the reports presented.*

11. Report of the Learning and Teaching Committee (Professor Tony Aspromourgos)

11.2 Report of the meeting held on 28 October 2009

11.2.2 Academic Board Resolutions: Assessment and Examination of Coursework

N.B. This item has been held over to the December meeting of the Academic Board.

12. Report of the Research and Research Training Committee
(Professor Bruce Sutton)

Members are asked to note the amended recommendation for the following item:

12.2 Report of the meeting held on 21 October 2009
12.2.4 Statement on Open Access

Recommendation

That the Academic Board approve the Statement on Open Access, as presented.

13. Report of the Academic Staffing Committee
(Professor Belinda Bennett)

13.3 Report of the meeting held on 9 November 2009
13.3.1 Promotions Policy and Guidelines

pages 7-31

Recommendation

That the Academic Board approve the revised Promotions Policy and Guidelines with immediate effect, as set out in the report presented.

AGENDA ITEM 6
Report of the Chair

6.1 Report on Senate Matters

6.1.1 Report of the Senate meeting held on 2 November 2009

Senate, at its meeting on 2 November 2009, on the report of the Academic Board meeting held on 7 October 2009:

- (1) noted the Chair of the Academic Board's oral report.
- (2) approved the amendment of the Resolutions of Senate relating to the Governance of Faculties, Colleges, College Boards, Departments, Schools and Committees, with immediate effect.
- (3) approved the amendment of the Resolutions of Senate relating to the Constitution of the Faculty of Nursing and Midwifery, with immediate effect.
- (4) endorsed, with effect from 1 January 2010, the Board's approval of the proposals from
 - o the Faculty of Arts - to amend the Master of Philosophy
 - o the Faculty of Education and Social Work - to offer the Master of Education (Educational Management and Leadership) in Singapore
 - o the Faculty of Engineering and Information Technologies - to amend the Master of Professional Engineering. Senate approved the amendment of the Resolutions of the Senate relating to this course.
 - o the Faculty of Nursing and Midwifery - to introduce the Graduate Certificate in Clinical Trials Practice. Senate approved the amendment of the Resolutions of the Senate relating to the Degrees, Diplomas and Certificates in the Faculty and the Graduate Certificates in the Faculty.
- (5) noted the report on minor course amendments and other matters.

Recommendation

That the Academic Board note the report of the Chair of the Academic Board on academic matters considered by Senate at its meeting of 2 November 2009.

6.3 General Report

6.3.1 Membership of the Academic Board for 2010

In addition to the membership details outlined in Appendix B of the main agenda, the Academic Board is asked to approve the nomination of the following members to the Academic Board from 1 January 2010:

NAME	FACULTY	PERIOD TO:
Mr Alex Wharton	Education & Social Work	31 December 2010
Dr Doug Auld	Engineering & Information Technologies	31 December 2011
Professor Patrick Brennan	Health Sciences	31 December 2011
Professor Glennys Howarth	Health Sciences	31 December 2011
Professor Stephanie Short	Health Sciences	31 December 2011

Recommendation

That the Academic Board:

- (1) note the report on the membership of the Academic Board for 2010; and*
 - (2) approve the nominated academic staff and student members from the faculties*
- as set out in the report presented.*

AGENDA ITEM 7
Report of the Vice-Chancellor

7.1 Report on Senate Matters

7.1.1 Report of the Senate meeting held on 2 November 2009

Senate, at its meeting held on 2 November 2009:

- (1) noted the Vice-Chancellor's report to Senate and his tabled update, which are enclosed separately.
- (2) gave approval to the following new Senate committee structure, and terms of reference and constitutions for each committee, with effect from 2010:
 - Buildings and Estates Committee
 - Chair Appointments Committee
 - Finance and Audit Committee
 - Human Resources Committee
 - Investment and Commercialisation Committee
 - Nominations and Appointments Committee
 - Safety and Risk Management Committee
- (3) resolved to record its formal appreciation for and note in detail the contribution made by retiring (from 1 December 2009) Fellows of Senate Dr Robin Fitzsimons (Graduate Fellow), Mr Tom Kavanagh (Postgraduate Student Fellow), Ms Kate Laing (Undergraduate Student Fellow), Ms Irene Moss AO (Graduate Fellow), Emeritus Professor Ann Sefton AO (Graduate Fellow) and Mr Adam Spencer (Graduate Fellow).
- (4) resolved to congratulate Mr Thomas D Kaldor on his election as a Fellow of Senate by and from the undergraduate students, to hold office from 1 December 2009 to 30 November 2010.
- (5) noted the schedule of dates for the 2010 graduation ceremonies approved by the Registrar under delegated authority; gave authority to the Chancellor, the Deputy Chancellor, the Vice-Chancellor and Principal, the Chair of the Academic Board and the Pro-Chancellor to admit to the appropriate degree or degrees, and to award the appropriate diploma or diplomas at these ceremonies to, those who have qualified for degrees and diplomas concerned and whose names appear in the printed lists contained in the official programs; and gave authority to the Registrar to change the disciplines to be presented at any ceremony or the scheduled time of any ceremony, after appropriate consultation with the faculties, colleges and boards of studies concerned and after appropriate notice to the graduands concerned.

Recommendation

That the Academic Board note the report of the Vice-Chancellor and Principal on matters considered by Senate at its meeting held on 2 November 2009.

AGENDA ITEM 13
Report of the Academic Staffing Committee

13.3 Report of the meeting held on 9 November 2009

13.3.1 Promotions Policy and Guidelines

pages 9-31

Background

During first semester 2009 four working groups worked on academic staffing issues that were part of the University's "work slate" agenda. These working groups were part of a joint approach between the Academic Board and the Provost's Office. Working Group 1 focused on academic career paths at the University of Sydney and sought to build upon the paper on academic career paths which had been approved by the Academic Board at its meeting on 16 April 2008.

Working Group 1 met on a regular basis during first semester 2009 to translate the principles articulated in the 2008 paper into the University's promotion policies and procedures. The report of Working Group 1 was provided to the Provost in June 2009 and endorsed by the Senior Executive Group (SEG) on 9 July 2009. Draft revisions to the promotions policy were considered by the Academic Board's Academic Staffing Committee at meetings in October and November 2009. The policy is now presented to the Academic Board for its consideration.

Why These Changes?

The changes set out in the attached document are designed to achieve several objectives:

- Provide a new pathway for promotion: New criteria are set out for each academic level. The criteria will provide a new pathway for promotion for staff who can demonstrate education-focused achievement. While the University already recognises achievement by research staff and by teaching and research staff, to date there have been limited opportunities for staff members with education-focused interests and expertise. The revised policy seeks to correct this omission and provide clear pathways for promotion. Importantly, the creation of an education-focused pathway for promotion does not change a staff member's underlying appointment (e.g. as a teaching and research academic). Rather it simply allows a staff member to choose, at the time of making a promotion application, the pathway that provides him/her with the best opportunity for career progression. The criteria are also written so as to encompass the various ways in which achievement may be demonstrated along the spectrum from education-focused to research-focused, with teaching and research positions in the middle while recognising that the criteria need to be understood within a discipline-specific context and that not all criteria will be relevant for all staff members at each level.
- Greater transparency in the normative criteria for each level: In addition to encompassing the new opportunities created by the establishment of an education-focused pathway for promotion as outlined above, the new criteria will provide prospective applicants for promotion with more detailed information about the factors to be taken into account in assessment of their application. For staff members who are already at senior levels or who have experience in sitting on promotion committees these criteria may seem self-evident. For other staff members the revised criteria are designed to provide

greater transparency and guidance for staff members both in the planning of their careers and in the crafting of their promotion applications.

- Miscellaneous amendments: The revision of the promotion policy provides an opportunity to clarify and tidy up some aspects of the current policy. The attached revisions provide a clear statement that achievement is to be assessed relative to opportunity thus providing express recognition of factors that may be barriers to opportunity (para 2.16), clarification in relation to conflicts of interest (para 4.3.3), allowing promotion committees to recommend promotion by one level for an applicant who has applied for promotion by two levels and is unsuccessful in that application (para 4.6.6 and 5.1.11), clarification of membership of promotion committees (paras 5.2, 5.3, 5.5, 5.6), and titles that apply on promotion via an education-focused pathway (section 7).

Recommendation

That the Academic Board approve the revised Promotions Policy and Guidelines with immediate effect, as set out in the report presented.



POLICY STATEMENT ON PROMOTION OF ACADEMIC STAFF

This document should be read in conjunction with the Committee Procedures for LPC and CPC Committees, the Guidelines for Applicants and the University's Code of Conduct

1 Purpose

- 1.1 The University is committed to attracting, rewarding and retaining staff of outstanding quality who perform in ways that contribute to its reputation nationally and internationally. High performing academic staff are the cornerstone of the University and a range of strategies are available to appropriately recognise, reward and retain these staff
- 1.2 Promotion is one of these strategies. Other options include additional remuneration (such as market loadings and performance bonuses), employment flexibility, and research support. In some cases, these options will be a more appropriate way of recognising the contributions of particular staff or their market value.

2 Principles

The University is a very diverse institution and its effective functioning and reputation both depend on wide and varied contributions from staff. To be promoted, a staff member must demonstrate sustained achievement at the current level of appointment in the three categories of activity—teaching, research (including different forms of scholarship, creative and professional work), and service to the University, discipline and community. Applicants must provide evidence of the capacity to perform at the level to which they are seeking promotion. The University recognises that members of staff do not have identical opportunities to engage in the full range of academic activities. Thus academic profiles at the same level of appointment will be constructed in different ways. However, the University considers teaching and research as its core activities and also expects that all staff contribute to the overall work of their School.

While applicants are required to provide information concerning their whole career, it is essential that they provide a clear account of achievements and publications since their last appointment or promotion, and evidence of an upward trajectory in performance that would warrant promotion to the next level.

In exceptional cases applicants may seek to be promoted two levels. To justify this the applicant must put forward a strong case outlining the reasons for seeking such a promotion. The application requires the support of the applicant's Head of School and approval by the relevant Dean. The Dean must then provide a letter of support, addressed to the Provost, justifying the exceptional nature of the case. A copy of this letter must be submitted to the Academic Promotions Unit.

Applications for promotion are called for annually in the first half of the year, however some Faculties may elect to hold a second round in the second half of the year for promotions below

~~Level E. In special circumstances, ‘out of round’ promotions may be considered. The effective date of the promotion is 1 January of the following year, except in the case of ‘out of round’ promotions, which take effect immediately.~~

~~Assessment of applications for promotion is made by a committee of peers through a process designed to enable fair and consistent application of absolute indicators of academic performance, benchmarked across disciplines and against institutions of similar international standing. The assessment process reflects the University’s commitment to the principles of equity, equal opportunity, privacy and confidentiality. The committees assessing applications are the Local Promotion Committee (LPC) (for all levels) and the Central Promotion Committee (CPC) (Levels D and E, and sometimes Level C).~~

~~The level of remuneration associated with any promotion will be a matter for consideration by the relevant delegated officer (currently the Dean for Level B–D promotions and the Provost for Level E promotions). The minimum will be Step 1 of the new level of appointment and staff can generally expect to be appointed to this step. A higher step may be appropriate where a staff member is currently receiving remuneration in excess of Step 1 or where special circumstances exist.~~

- 2.1 The University of Sydney is a research-intensive comprehensive University. Consistent with the definition of a university, we recognise the mutual interaction of teaching, research and learning at all levels within the University. As a consequence, we expect that during their career all members of academic staff will be active in research and scholarship, as well as committed to and participate in high quality, research-led teaching.
- 2.2 The University recognises that members of staff do not have identical opportunities to engage in the full range of academic activities. Thus academic roles at the same level of appointment will be constructed in different ways. However, the University considers teaching and research as its core activities and also expects that all staff contribute to the overall work of their School.
- 2.3 Each member of academic staff has responsibility for setting and maintaining high standards in respect of:
 - Knowledge of their academic subject area;
 - Contribution to teaching and learning;
 - Contribution to research and scholarship;
 - Service to their discipline, the community and the University.
- 2.4 While all members of academic staff are expected to make contributions to these areas, it is recognised that the weighting of these contributions may vary over the course of a career. Accordingly the University of Sydney recognises that academic careers may fall along a spectrum of roles ranging from education-focused at one end, through to research-focused at the other, and including the traditional teaching and research role in the middle.
- 2.5 Each academic staff member will be appointed to a position at a particular academic level (from A-E). While appointed to this position the roles undertaken by an individual member of staff may vary over time and there may be movement between different roles, either while the staff member is within one career level, or across different levels in the course of a career.
- 2.6 The normative criteria set out in Section 3 below are intended to provide guidance about the University’s expectations about achievement at each level of academic employment. Staff

considering promotion need to consider the criteria for the level to which they seek promotion and need to ensure that they have achievements commensurate with that level.

- 2.7 Movement between different roles is to be decided on a prospective basis through discussion between an individual staff member and his/her Head of Department. A staff member seeking to move from one role to another may be required to demonstrate competencies appropriate to the proposed role.
- 2.8 While applicants are required to provide information concerning their whole career, it is essential that they provide a clear account of achievements and publications since their last appointment or promotion at this University, and evidence of an upward trajectory in performance that would warrant promotion to the next level.
- 2.9 In exceptional cases applicants applying for promotion below Level E may seek to be promoted two levels. To justify this the applicant must put forward a strong case outlining the reasons for seeking such a promotion. The application requires the support of the applicant's Head of School and approval by the relevant Dean and the Provost.
- 2.10 Applications for promotion are called for annually in the first half of the year, however some Faculties may elect to hold a second round in the second half of the year for promotions below Level E. In special circumstances, 'out of round' promotions may be considered. (Refer to out of rounds policy.)
- 2.11 The effective date of the promotion is 1 January of the following year, except in the case of 'out of round' promotions, which take effect immediately.
- 2.12 Assessment of applications for promotion is made by a committee of peers through a process designed to enable fair and consistent application of absolute indicators of academic performance, benchmarked across disciplines and against institutions of similar international standing. The assessment process reflects the University's commitment to the principles of equity, equal opportunity, privacy and confidentiality.
- 2.13 The committees assessing applications are the Local Promotion Committee (LPC) (for all levels) and the Central Promotion Committee (CPC) (Levels D and E, and ~~sometimes~~ Level C for applications that have been considered by an LPC.
- 2.14 The level of remuneration associated with any promotion will be a matter for consideration by the relevant delegated officer (currently the Dean for Level B – D promotions and the Provost for Level E promotions). The minimum will be Step 1 of the new level of appointment and staff can generally expect to be appointed to this step. A higher step may be appropriate where a staff member is currently receiving remuneration in excess of Step 1 or where special circumstances exist.
- 2.15 The University is committed to ensuring equal employment opportunity for all staff. In order to meet this commitment, the University must ensure that it does not discriminate against employees (including in promotion) on the grounds of sex, pregnancy, race (including colour, ethnic background or national identity), marital status, disability, sexual preference, transgender status, political or religious belief or age. Discrimination against any employee on these grounds is a breach of University policy and, in most circumstances, is unlawful.
- 2.16 Accordingly, members of promotion committees must ensure that they apply only the relevant promotion criteria in assessing an application, and must not discriminate against any applicant on any of the ground. Anyone involved with a promotion application should maintain an awareness of due process and equity. Failure to do so may lead to an unfair decision and appeals action.

- 2.17 Promotion committees should ensure that each applicant's achievements are assessed relative to opportunity. Factors which may affect opportunity include part-time or fractional employment, significant parenting or other caring responsibilities, or clinical responsibilities.
- 2.18 The names of applicants, information contained in applications referees' / assessors' reports, and the content of interviews and discussions within promotion committees shall be confidential subject to any requirement of disclosure by law, including under the NSW Freedom Information Act 1989. Any committee member who breaches confidentiality will be required to withdraw from the committee and may be subject to disciplinary action.

3 Criteria for appointment

A. ~~Criteria for each Level of Appointment~~

~~The following guidelines⁺ provide an indication only as to the criteria to be met at the current level of appointment for both teaching and research staff and research only staff.~~

~~Staff may be expected to undertake responsibilities and functions of any level up to and including the level to which they are currently appointed. In addition, they may undertake elements of the work of a higher level in order to gain experience and expertise that will assist them in demonstrating the capacity to satisfy the criteria of that higher level for the purpose of promotion.~~

~~For specific guidance on the types of activities and evidence of these that will need to be provided to demonstrate that they meet these criteria, applicants should refer to 'Applicant requirements—detailed specifications' in Section IV (3) of the Promotions 2009 Applicant Information.~~

Level A (Associate Lecturer)

~~**Teaching and Research staff:** A Level A academic will work with the support and guidance of more senior academic staff and is expected to develop his or her expertise in teaching and research with an increasing degree of autonomy. A Level A academic will normally have completed four years of tertiary study or equivalent qualifications and experience and may be required to hold a relevant higher degree.~~

~~A Level A academic will normally contribute to teaching, at a level appropriate to the skills and experience of the staff member, engage in research / scholarship / creative / professional activities appropriate to his or her discipline, and provide service to the University/discipline and community through participation in administrative and other School and professional / community activities.~~

~~**Research Only staff:** A Level A research academic will typically conduct research / scholarly / creative / professional activities under limited supervision either independently or as a member of a team, and will normally hold a relevant higher degree.~~

~~A Level A research academic will normally work under the supervision of academic staff at Level B or above, with an increasing degree of autonomy as the research academic gains skills and experience. A Level A research academic may undertake limited teaching, may supervise at undergraduate levels, and may publish the results of the research conducted as sole author or in collaboration. He or she will provide~~

⁺These have been adapted from the Academic Classifications detailed in Schedule 2, Academic Staff Agreement 2006—2008

service to the University/discipline and community through participation in administrative and other School activities and professional/community activities.

Level B (Lecturer)

Teaching and Research staff: A Level B academic will undertake independent teaching and research / scholarship / creative / professional work in his or her discipline or related area. In research / scholarship / creative / professional work and/or teaching a Level B academic will make an independent contribution, and co-ordinate and/or lead the activities of other staff, as appropriate to the discipline. A Level B academic should normally hold a relevant higher degree.

A Level B academic will normally contribute to teaching at undergraduate, honours and postgraduate level and engage in independent research / scholarship / creative / professional activities appropriate to his or her profession or discipline. He/she will provide service to the University/discipline and community through acting as members of school committees, year coordinators, members of Faculty and University committees, organisers of conferences, public seminars and meetings, and participating in professional/community activities.

Research Only staff: A Level B research academic will normally have experience in research / scholarly / creative / professional activities, which have resulted in publications in refereed journals or equivalent.

A Level B research academic will carry out independent and/or team research. A Level B research academic may supervise postgraduate research students or projects and be involved in research training. He or she will provide service to the University/discipline and community through acting as members of school committees, year coordinators, members of Faculty and University committees, organisers of conferences, public seminars and meetings, and participating in professional/community activities.

Level C (Senior Lecturer)

Teaching and Research staff: A Level C academic will make a significant contribution to the discipline at the national level. In research / scholarship / creative / professional work and/or teaching he or she will make and be recognised for original contributions which expand knowledge or practice in the discipline.

A Level C academic will normally make a significant contribution to research / scholarship / creative / professional work and to the teaching and administration activities of the School at undergraduate, honours and postgraduate level. He or she will normally provide a significant degree of leadership in research / scholarly / creative / professional activities (including engaging in postgraduate research supervision and/or associate supervision) and may be required to perform the full academic responsibilities of and related administration for the coordination of a large award course or a number of smaller award courses.

They may also be expected to take on leadership roles within the School, Faculty and University, to chair or contribute to committees at any of these levels, and represent the University in relations with other Universities and organisations.

Research Only staff: A Level C research academic will make independent and original contributions to research, which have a significant impact on his or her field of expertise.

The work of the research academic will be acknowledged at a national level as being influential in expanding the knowledge of his or her discipline. This standing will normally be demonstrated by a strong record of published work (or equivalent output) or other demonstrated scholarly activities (including high level research infrastructure development). They may also be expected to take on leadership roles within the School, Faculty and University, to chair or contribute to committees at any of these levels, and represent the University in relations with other Universities and organisations.

~~A Level C research academic will provide leadership in research, including research training and postgraduate research supervision or associate supervision, in their field within the University.~~

Level D (Associate Professor)

~~Teaching and Research staff: A Level D academic will normally make a sustained outstanding contribution and provide leadership in the research / scholarship / creative / professional work and the teaching and administration activities of the School and Faculty.~~

~~A Level D academic will make an outstanding contribution and provide leadership in the governance and collegial life inside and outside of the University and will have attained recognition at a national or international level for leadership in his or her discipline. He or she will make original and innovative contributions and provide leadership in the advancement of research and teaching in his or her discipline.~~

~~Research Only staff: A Level D research academic will make major original and innovative contributions and provide leadership in his or her field of study or research, and be recognised as outstanding nationally or internationally.~~

~~A Level D research academic will play a significant leadership role within the University, discipline and/or profession in fostering the research activities of others, and in research training.~~

Level E (Professor)

~~Teaching and Research staff: A Level E academic will provide sustained outstanding academic leadership and foster excellence in research, teaching and policy development both within the University and within the community, professional, commercial or industrial sectors.~~

~~A Level E academic will be widely recognised as a leading authority in his or her discipline on a national and international level. A Level E academic will make original, innovative and distinguished contributions to research / scholarship / creative / professional work and teaching in his or her discipline.~~

~~Research Only staff: A Level E research academic will have achieved international recognition through original, innovative and distinguished contributions and leadership in his or her field of research, which is demonstrated by sustained and distinguished performance.~~

~~A Level E research academic will provide sustained outstanding academic leadership in his or her field of research, within the University, discipline and/or profession and within the scholarly and/or general community. He or she will foster excellence in research, research policy and research training.~~

Generic Attributes and Responsibilities

All members of academic staff at all levels and in all roles are normally expected to have the following generic attributes and responsibilities:

- Will normally hold a relevant higher degree for appointment at Level A and will normally have a PhD or other higher professional qualifications or attainments as appropriate to the discipline for any appointments at Level B or above
- To develop expertise in teaching and/or research with an increasing degree of autonomy e.g. through enrolment in the Graduate Certificate in Higher Education and enrolment in and completion of research-related workshops e.g. HRD supervision, grant writing
- To carry out the duties assigned under School/Faculty workload policies at a load and in a manner appropriate for a staff member at that level;
- To be actively engaged in research and scholarship;
- To disseminate their knowledge and expertise in education and/or research skills as appropriate for their role and level of appointment;

- To be involved in both formal and informal staff mentoring programs;
- To engage in continuing professional development by pursuing opportunities to enhance their expertise and professionalism;
- To be institutionally engaged as a member of the University of Sydney community through participation in committees, administrative duties and governance at School, Faculty and/or University level as appropriate for the staff member's level of appointment;
- To interact with staff and students in the University in a professional and collegial manner.
- Will seek to engage, where appropriate, with the wider community
- When appropriate seek to use their expertise to inform the general public or engage in public debate on key issues of public importance, in line with University guidelines on appropriate forms of public comment

In addition to the above, staff in research-focused or education-focused roles are expected to have the generic attributes and responsibilities outlined below:

Staff in research-focused roles will devote most of their effort to research in their discipline. However, it is expected that research-focused staff will participate in teaching through supervision and instruction of postgraduate students, interaction with Honours students or limited instruction to undergraduate students, recognising the inspirational influence of a profound research culture and philosophy on teaching. Performance in research in any academic discipline is traditionally gauged by a range of parameters, including but not limited to quality and extent of peer-reviewed publication record, research income and impact of research. Staff in research-focused roles would be expected to be building (at junior levels) or to have achieved and maintain (at senior levels) national and international reputations for their research and to have a record of success in competitive external grant applications (e.g. ARC, NHMRC).

Staff in education-focused roles will be recognised by the excellence and contribution of their teaching, but would normally be expected to contribute to research in either their discipline or the pedagogy of their discipline. Teaching performance is judged primarily against its quality, influence and impact, assessed using both objective measures and the honest and informed opinion of colleagues, peers and students, gathered in a valid and reliable manner. Teaching performance will include not only effect on student learning, but also leadership and excellence in development of teaching practice and curricula. Teaching quantity alone is no proxy for teaching quality. Staff in education-focused roles would be expected to be building (at junior levels) and to have achieved and maintain (at senior levels) national and international reputations for their contribution to pedagogical issues within their discipline and/or more broadly, and to have a record of success in competitive grant applications (e.g. ALTC) and/or teaching awards.

Normative Criteria for Levels A-E

The normative criteria set out below are intended to provide guidance for academic staff applying for promotion and for promotion committees. The criteria are indicative of the various ways in which staff members seeking promotion may demonstrate achievement at a particular level. Not all criteria will be relevant to all staff and there may be disciplinary differences in the weight attached to individual criteria.

Level A:

- Normally works under the supervision of academic staff at Level B or above, with an increasing degree of autonomy as the academic gains skills and experience
- Typically conducts research/scholarly activities under limited supervision either independently or as a member of a team
- In the case of education-focused and teaching-and-research staff will be contributing to a program(s) of teaching at undergraduate and graduate diploma level under the supervision of a more experienced member of staff. In the case of research-focused staff, may undertake limited teaching.
- May supervise research students at undergraduate level.
- Undertakes administration primarily relating to staff member's activities at the University
- May be mentored in a formal University mentoring program

Level B:

- Expected to make an independent and/or team contribution to research, scholarship and/or teaching through professional practice and expertise, and co-ordinate and/or lead the activities of other staff, as appropriate to the discipline
- Will be involved in the evaluation of teaching and learning both at the program level and in respect of one's own practice and/or may be engaged in research evaluation and in the assessment of one's own research practice through participation in peer-review research activities within the University and/or the discipline as a reviewee and/or reviewer
- Normally contributes to teaching at undergraduate, honours and postgraduate level either teaching in units of study or through research supervision
- May have experience in education-related scholarly activities, which have resulted in demonstrated improvements in teaching quality and/or education outcomes; and/or should be able to demonstrate evidence of successful outcomes in research supervision
- Will engage in scholarly development and engagement in their subject area, and where appropriate, participate in continuing professional development (e.g., seminars, conference participation, etc)
- May be involved in training in pedagogical skills and/or research training
- May be required to perform full academic responsibilities of and related administration for co-ordination of a unit of study within a Faculty consistent with the Faculty's workload policy
- Will demonstrate evidence of competitive grant applications within the University (e.g. TIES, IPDF) or externally (e.g. ARC, NHMRC) either individually or as part of a team
- May be mentored in a formal University mentoring program and will be an informal mentor for other staff at Levels A and/or B

Level C

- Will make independent and original contributions to scholarship within the discipline and disseminate these among colleagues
- Will be acknowledged at national level as influential in expanding knowledge within the discipline and/or of pedagogical and curriculum issues, and standing will normally be demonstrated by a strong record of research and/or scholarly activities relating to the discipline and/or teaching and/or teaching practices
- Will disseminate knowledge in learning and teaching and/or research and research training to benefit and promote good practice in the Faculty/University (e.g. staff development workshops, invited talks, conferences, working groups, projects)

- Will provide leadership in teaching, teaching innovation and/or curriculum development and/or will provide leadership in research, including research training and supervision, with a significant impact on practice in the Faculty/School
- Will be contributing to academic and/or professional journals on issues relevant to his/her discipline and/or more broadly or equivalent appropriate to the discipline. A premium will be placed on ERA recognised contributions
- May pursue education opportunities to enhance their expertise and professionalism in higher education
- Would normally be expected to make a significant contribution to research, scholarship and/or teaching and administration activities of an organisational unit or interdisciplinary area at undergraduate, honours and postgraduate level
- Would normally be expected to play a major role or provide a significant degree or leadership in scholarly, research and/or professional activities relevant to the profession, discipline and/or community.
- May be required to perform full academic responsibilities of, and related administration for, coordination of a large unit of study or award program or a number of small award programs, if consistent with the workload policy of the Faculty
- Will demonstrate evidence of competitive grant applications within the University (e.g. TIES, IPDF) or externally (e.g. ARC, NHMRC).
- Will be contributing to governance in the School, Faculty and/or University e.g. through participation in committees, as a member of the Academic Board, administrative roles in Centres or Institutes
- May be mentored in a formal University mentoring program and will be an informal mentor for other staff at Levels C and below. May be a formal mentor for staff at Levels C and below.
- May where appropriate contribute to the University's work of community and alumni engagement
- May, where appropriate, contribute their expertise and knowledge to broader forums of public debate mindful of University guidelines on public comment

Level D

- Will have attained and maintain recognition at a national or international level in staff member's discipline and is expected to make original contributions to advancement of scholarship, research (will make major original and innovative contributions to staff member's field of study or research, which are recognised as outstanding nationally or internationally) and teaching (contributions to national efforts to enhance curriculum and provide high quality learning experience in discipline (e.g. lead discipline education group, chair workshops, accreditation visit, expert panels, ALTC team projects))
- Will demonstrate engagement in publications and scholarly dissemination appropriate to the discipline. A premium will be placed on ERA recognised contributions
- Will have a sustained track record of effective leadership of teaching teams (in curriculum design, implementation and innovation leading to improvements in student learning) and/or in research (in fostering the research activities of others, and in research training)
- Will normally have evidence of major original and innovative contributions to curriculum and pedagogical development which enhance the University's standing as a national leader in education within the discipline and/or major original and innovative contributions to staff member's field of study or research, which are recognised as outstanding nationally or internationally
- Will demonstrate evidence of capability to lead developments in education quality which enhance major aspects of the Faculty operations through program management, curriculum development, faculty and institutional teaching roles (e.g. Associate Dean, Academic Board, SEG Education Committee) or evidence of capability to lead developments in research which

enhance the reputation of the Faculty/University (e.g. leading participation in internationally-funded research projects)

- Would normally be expected to make an outstanding contribution to governance and collegial life inside within the University and community and professional service
- May be mentored in a formal University mentoring program and will be an informal mentor for other staff at Levels D and below. Will be a formal mentor for staff at Levels C and below
- Will, where appropriate, contribute to the University's work of community and alumni engagement
- Will contribute their expertise and knowledge to broader forums of public debate mindful of University guidelines on public comment
- Will, where appropriate, assist the University in its development work.

Level E

- Will have achieved and maintained international recognition through original, innovative and distinguished contributions to scholarship and research
- Will have a track record of competitive research grants (e.g. ARC, NHMRC, ALTC, CRC)
- Will have publications in peer reviewed international journals in the discipline and/or more broadly
- Will have evidence of recognition within the broader research community e.g. membership/editorship of journal(s); membership of national/international consultative bodies, membership of specialist committees or advisory boards
- Will have evidence of leadership in curriculum development, program development and management and/or research and scholarship
- Will have evidence of mentoring of colleagues to leadership positions
- Will have evidence of capability to lead developments in learning and teaching and/or research and scholarship which enhance major aspects of the University's operations and its international reputation
- Will be expected to make an outstanding contribution to governance and collegial life inside and outside the University by chairing School/Faculty committees, undertaking significant administrative positions (e.g. Associate Dean), participating in/chairing University-level committees
- Will be mentored in a formal University mentoring program and will be an informal mentor for other staff at Levels D and below. Will be a formal mentor for staff at Levels E and below.
- Will where appropriate contribute to the University's work of community and alumni engagement
- Will, where appropriate, contribute their expertise and knowledge to broader forums of public debate mindful of University guidelines on public comment
- Will, where appropriate, assist the University in its development work to support the aims and aspirations of the University

Promotion Streams and Minimum Standards Required for Promotion

- A.** The University of Sydney recognises three streams for promotion: (i) teaching and research; (ii) education-focused; and (iii) research-focused. A staff member may apply for promotion in any stream, regardless of their current role or appointment. However, promotion in a particular stream does not change a staff member's underlying appointment nor the role that they may be expected to fulfil in relation to that appointment.
- B.** Applicants will be assessed in terms of their level of achievement at their current level of appointment and must provide evidence of the capacity to perform at the level to which they are seeking promotion and demonstrate an upward trajectory in performance that would warrant promotion to the next level.
- C.** The promotion stream in which an applicant applies for promotion is binding on the LPC and CPC and cannot be changed by either Committee.

Teaching and Research Staff

Promotion from - to	Teaching	Research/etc	Service	Total
Teaching & Research: A-B, B-C, C-D	Superior/ outstanding	Superior/ outstanding	Superior	1 outstanding (which must be either teaching or research), 2 superior
Teaching & Research: D-E	Outstanding	Outstanding	Superior	2 outstanding, 1 superior

Education-Focused Staff

<u>Promotion from - to</u>	<u>Teaching</u>	<u>Research/etc</u>	<u>Service</u>	<u>Total</u>
<u>Education-Focused: A-B, B-C, C-D; D-E</u>	<u>Exceptional*</u>	<u>Superior</u>	<u>Superior</u>	<u>1 exceptional (which must be in teaching), 2 superior</u>

Research-Focused Staff

Promotion from - to	Teaching	Research/etc	Service	Total
Teaching & Research: A-B, B-C, C-D; D-E	Superior	<u>Exceptional*</u>	Superior	1 exceptional (which must be in research), 2 superior

** Exceptional should be interpreted as well above the median performance of staff in the relevant discipline at the level to which the applicant is applying.*

4 Responsibilities and Rights

4.1 Responsibilities of the Heads of School, or, where there is no Head of School, a person nominated by the Dean

4.1.1 Heads of Schools or, where there is no Head of School, a person nominated by the Dean (and Supervisors if appropriate) must make themselves available to give confidential advice

and other forms of support to potential candidates before they submit a promotion application. Such advice would normally include advice on the prospects of promotion and how to prepare an application.

- 4.1.2 The Head (or nominee) must have a sound knowledge of all facets of the applicant's work relevant to their application for promotion and must:
- (a) complete and ~~sign~~ verify the appropriate section of the Teaching and Research Student Supervision Activities Form; and
 - (b) complete a report (Levels B-D) on the applicant.
 - (c) provide guidance to the LPC or CPC on the research and teaching norms expected in their discipline.
- 4.1.3 The Head (or nominee) should consult with appropriate members of the School before writing the report and indicate in his/her report:
- (a) the views of the Professor most concerned and all other relevant staff in the School, including any divergent views;;
 - (b) those staff who have been consulted; and
 - (c) whether the application and the standing of the referees have been discussed with other members of the School.
- 4.1.4 The report is to be discussed by the Head (or nominee) with the staff member. The staff member will be asked to verify that this has been done
- 4.1.5 The Head (or nominee) may not make a written reply to the applicant's response to their report.
- 4.1.6 There is no Head of School report for Level E.
- 4.1.7 Heads or nominees (~~and Supervisors if appropriate~~) should also be available to assist in providing guidance to unsuccessful candidates.

4.2 Responsibilities and Rights of the applicant

- 4.2.1 Applicants must lodge their application on line by the relevant closing date.
- 4.2.2 Provide an application that is clear, concise, well structured and readable, indicating those areas of endeavour representing the applicant's particular strengths that justify promotion. This will facilitate understanding by committee members who rely on the application, and the head's and referees' reports, as their main sources of information.
- 4.2.3 Applicants should focus on achievements and publications since their last appointment or promotion at this University, but should refer in the application to their whole career to date.
- 4.2.4 Applicants must provide evidence of the capacity to perform at the level to which they are seeking promotion and demonstrate an upward trajectory in performance that would warrant promotion to the next level.
- 4.2.5 Applicants should provide an explanation in their application of any known special circumstances that have affected their opportunity to meet the requirements for promotion.
- 4.2.6 Applications must not exceed the specified word limits for each section. The same material must not be listed under more than one category (cross referencing should be used where necessary, e.g. where teaching materials are also creative work or teaching publications).

- 4.2.7 The applicant has the right to expect notification of the membership of, and any subsequent changes to, the relevant LPC, the names of assessors in the case of Level E, and where applicable the membership of and any subsequent changes to the CPC, within the timeframe specified.
- 4.2.8 The applicant has the right to make written objections regarding membership of the LPC or CPC to the chair of the LPC or CPC within seven days of the receipt of advice.
- 4.2.9 The applicant has the right to make written objections regarding nominated assessors (for Level E applications) to the Chair of the LPC within seven days of the receipt of advice.
- 4.2.10 It is the responsibility of the applicant to confirm the willingness and availability of their referees' to supply a report by the stipulated deadline.
- 4.2.11 The applicant does not have the right to nominate assessors, or external and additional LPC members.
- 4.2.12 The applicant has the right to submit comments on any matters raised in the Head of School's (or nominee's) report.
- 4.2.13 Applicants must ensure their availability for interview and make themselves aware of the date and timelines pertaining to their particular application.
- 4.2.14 Applicants for Levels B to D have the option of not attending for an interview. An interview for promotion to Level E is compulsory.

4.3 Responsibilities of the Chair of the Local Promotion Committee (or nominee)

- 4.3.1 The Chair is responsible for providing the Provost with the recommendations for membership of the LPC, including reserves and any subsequent changes, for approval.
- 4.3.2 The Chair of the LPC will confirm that members of the LPC are not referees, or in the case of Level E, assessors of applicants to be considered by that particular committee.
- 4.3.3 Checking with LPC members that they have not had or do not currently have a close personal relationship with any applicant or do not have any personal interest in promoting or not promoting a particular applicant and in the event of an interest being declared, the LPC Chair should make a determination on the relevance of that declaration and is responsible for finding an replacement member for the LPC if necessary.
- 4.3.4 The Chair is responsible for distributing all papers (including policies, guidelines, etc) to the LPC and ensuring that all members of the LPC are familiar with the processes and requirements of such a committee.
- 4.3.5 The Chair must arrange all LPC meetings and advise both members and applicants of the date and time at least one week prior to the meeting date.
- 4.3.6 The Chair must receive, record and make available to the LPC members, the publications and any supplementary evidence provided by the applicant.
- 4.3.7 The Chair is responsible for nominating three assessors (including one reserve) for Level E applications, who are external to the University, of high international standing and be able to comment on the field of expertise of the candidate, and forwarding these nominations to the Provost for approval.
- 4.3.8 The Chair must ensure that assessors are available to complete a report within a four week time frame.

- 4.3.9 The Chair must forward the names of the nominated assessors to the applicant within the specified timeframe.
- 4.3.10 The Chair must accept written objections to either the membership of the LPC or nominated assessors within seven days of providing the information to the applicant.
- 4.3.11 The Chair of the LPC must forward any objections to the membership of the LPC:
- (i) the Provost for Levels B-D; and
 - (ii) the Vice-Chancellor for Level E.
- 4.3.12 The Chair of the LPC must forward any objections to a nominated assessor to the Chair of the Level E Central Promotions Committee (CPC) who will make a determination on the reasonableness or otherwise of the objections, and advise the applicant.
- 4.3.13 At and after the meeting the Chair must:
- (a) Ask all members of the committee at the beginning of the meeting to declare any personal interest in any application;
 - (b) Ensure all papers, where they are required for a CPC meeting, are returned to the Academic Promotions Unit unmarked, in their original state and the appropriate order;
 - (c) Prepare the LPC report according to the guidelines and ensure that both core and additional members have had an opportunity to review the report and provide comments;
 - (d) Ensure that core members of the LPC have approved the report;
 - (e) Prepare a one page synopsis on each Level E applicant recommended by the LPC;
 - (f) Notify all LPC members when the CPC does not endorse a recommendation; and
 - (g) Provide feedback to unsuccessful applicants about all aspects of their application, once recommendations have been approved.
- 4.3.14 In the cases of promotion to Levels D and E, the Chair is required to ensure their availability to attend the CPC meeting as required to answer questions concerning the applicants, referees' and/or assessors' reports and the LPC report.
- 4.3.15 Where there is a Level C LPC constituted from only one faculty, the Chair of that committee is required to make themselves available as described in 4.3.13 above.

4.4 Responsibilities of the LPC members

- 4.4.1 Provide comment on the LPC report and, in the case of core members, approve in writing by either signing the report or indicating approval via email.
- 4.4.2 All members must maintain confidentiality regarding the names of applicants, information contained in applications, referees' /assessors' reports, and the content of interviews and discussions within the committee.
- 4.4.3 Ensure there is no writing or marks on any application or additional papers that are required to be forwarded to a CPC.
- 4.4.4 LPC members must ensure they have academic rank not lower than that of the grade to which promotion is sought, except with the approval of the Provost and Deputy Vice-Chancellor in exceptional circumstances (e.g. where the Head of School or discipline is of a lower rank).
- 4.4.5 LPC members must ensure they are not referees or assessors for any applicant to be considered by the committee unless there are exceptional circumstances with the approval of the Provost and Deputy Vice-Chancellor.

- 4.4.6 Members of the LPC must not be members of the CPC considering applications at the same level.
- 4.4.7 Any apparent conflict of interest, such as a close personal relationship with any applicant, or any other personal interest in promoting or not promoting a particular applicant must be declared as soon as possible to the Chair of the LPC.
- 4.4.8 If an applicant applies to be promoted two levels and the LPC forms the view that promotion by two levels is not justified, the LPC may recommend to the CPC that the applicant is promoted by one level.

4.5 Responsibilities of the Chair of the Central Promotion Committee (or nominee)

- 4.5.1 The Chair will examine the reports of the LPC as soon as they are received and raise any concerns about procedures with the Chair of the LPC.
- 4.5.2 Where deemed necessary the Chair may ask for further reporting, the reconvening of an LPC and the submission of a new report.
- 4.5.3 Checking with CPC members that they have not had or do not currently have a close personal relationship with any applicant or do not have any personal interest in promoting or not promoting a particular applicant and in the event of an interest being declared, the CPC Chair should make a determination on the relevance of that declaration and is responsible for finding an replacement member for the CPC if necessary.
- 4.5.4 The Chair is responsible for reporting any concerns regarding LPC procedures to the membership of the CPC.
- 4.5.5 The Chair should review the preliminary voting prior to the CPC committee.
- 4.5.6 Ask all members of the committee to declare any personal interest in any application.
- 4.5.7 Prepare the CPC report according to the guidelines.
- 4.5.8 The Chair will provide feedback to unsuccessful applicants if requested.

4.6 Responsibilities of the CPC members

- 4.6.1 CPC members must have academic rank not lower than that of the grade to which promotion is sought.
- 4.6.2 CPC members must not be referees for any applicant to be considered by the committee.
- 4.6.3 Members of the CPC must not have been members of an LPC considering applications at the same level.
- 4.6.4 The CPC must not include a person who has or has had a close personal relationship with any applicant, or may have any other personal interest in promoting or not promoting a particular applicant. Any apparent conflict of interest of a CPC member must be declared as soon as possible to the Chair of the CPC.
- 4.6.5 The CPC may include a Head who has provided the Head's report for an applicant being considered by that CPC.
- 4.6.6 The CPC may determine a promotion to a lower level where an LPC has formed the view that an applicant who has applied for promotion by two levels is not justified and recommended to the CPC that the applicant be promoted one level.

4.7 Responsibilities of the Academic Promotions Unit

- 4.7.1 Provide information to applicants regarding the membership of the relevant LPC or CPC.
- 4.7.2 Provide advice to chairs of LPCs and CPCs on matters of process.

4.7.3 Ensure that electronic copies of applications and reports are provided to LPC and CPC committees within the designated timeframes.

5 Membership and terms of reference for promotions committees

There are two levels of committee to assess applications for promotion:

- ~~Local Promotions Committees (LPCs)~~
- ~~Central Promotions Committees (CPCs)~~

~~CPCs are to be established to assess applications to Level D and Level E. They are also established to assess any applications to Level C that have been considered by LPCs for candidates from only one faculty. Where CPCs are required to be established, applications are subjected to a two step assessment process. It is the task of the CPC to ensure that standards are equitable and to make the final recommendations for or against promotion. The CPC will be guided by the advice of the LPC.~~

5.1 Local Promotions Committee – membership (Promotion to Levels B, C &D)

5.1.1 The core is normally five members, but may be up to a maximum of seven, plus one reserve.

5.1.2 The core membership of the committee will be made up of:

- The Chair being a Dean from one of the faculties participating in the LPC, or nominee (with the approval of the Provost). In the absence of the Dean, the Dean's nominee will Chair the LPC;
- Three members from at least two different faculties (including the faculty of the applicant);
- One Academic Board nominee;
- Up to two other members in exceptional circumstances from at least two different faculties;
- One reserve; In the absence of the Academic Board nominee, the reserve member shall take the role of the Academic Board nominee, regardless of whether or not they are a member of the Academic Board.

5.1.3 Where there is a single faculty LPC, at least two of the members in the category *three members from at least two different faculties* should be from outside the faculty and exclusive of the Academic Board nominee.

5.1.4 In addition to the core membership, each LPC will have **additional** members (including a reserve) specific to individual applications, comprising:

- ~~In faculties comprising more than one School, the Head of School or Dean (or nominee)~~
- Two members who will normally have expertise in the applicant's general field, for example the head of school, head of discipline, the professor most concerned with the applicant's research, a staff member from another university etc, at least one of whom is external to the applicant's faculty.
- One reserve who will normally have expertise in the applicant's general field

5.1.4 Appointment of the member(s) with expertise in the applicant's general field is the responsibility of the Chair of the LPC, in consultation with the Head of School, and should not be nominated by the applicant.

5.2 Local Promotions Committee – membership (Promotion to Levels E)

5.2.1 The core is normally six members, but may be up to a maximum of eight, plus one reserve.

5.2.2 The core membership of the committee will be made up of:

- The Chair being a Dean from one of the faculties participating in the LPC, or nominee (with the approval of the Provost). In the absence of the Dean, the Dean's nominee shall be the Chair of the LPC;
- Normally four and no more than six Professors from at least two different faculties;
- One Academic Board nominee;
- Reserve; In the absence of the Academic Board nominee, the reserve member shall take the role of the Academic Board nominee, regardless of whether or not they are a member of the Academic Board.

5.2.3 Where there is a single faculty LPC, the members of the professoriate may be augmented from another university.

5.2.4 In addition to the core membership, each LPC will have **additional** members (including a reserve) specific to individual applications, comprising:

- Two persons expert in the applicant's general field, at least one of whom must be external to the University
- ~~In faculties comprising more than one School, the Head of School or Dean (or nominee) A nominee of the dean from the applicant's faculty.~~
- Reserve who will normally have expertise in the applicant's general field

5.2.5 Appointment of the member(s) with expertise in the applicant's general field is the responsibility of the Chair of the LPC, in consultation with the Head of School, and should not be nominated by the applicant.

5.3 Local Promotions Committees – terms of reference

5.3.1 The LPC is formed under the authority of the Provost and serves a faculty or group of faculties.

5.3.1.1 Centres that are outside the normal faculty structure will be assessed by the most relevant faculty as determined by the Provost.

5.3.2 The role of the LPC is to act as assessor rather than advocate for faculty applications.

5.3.3 When assessing an application, the LPC should take into account the whole academic career of the applicant, but particular attention must be given to achievement and publications since the last appointment or promotion at this University.

5.3.4 The LPC should look for evidence of an upward trajectory in performance that would warrant promotion to the next level.

5.3.5 In special circumstances, the LPC may request additional information from applicants. Any such additional information is to be attached to the LPC report.

5.3.6 Each member of an LPC must rate each applicant in terms of the evaluation standards, the minimum standards for promotion taking account of the criteria for each level and position focus. These are set out in Section 3 above.

5.3.7 All LPC members are required to vote for or against promotion in each case. Where a member's rating of an applicant does not meet the minimum standards required for promotion, that member cannot vote in favour of promoting that applicant.

5.3.8 A secret ballot is not permitted by any LPC committee.

- 5.3.9 Applicants who receive more than two-thirds of the positive votes are supported for promotion.
- 5.3.10 The LPC should make a clear decision in relation to the standards of evaluation to either recommend or not recommend promotion for each applicant.
- 5.3.11 LPC committees are not permitted to promote an applicant to any other stream except the stream to which the applicant has nominated. (For example, a candidate who asks to be considered for promotion in the research-focussed stream, may not be promoted by the committee in the teaching and research or education-focussed stream.)
- 5.3.12 Where a candidate who has nominated to be promoted by two levels (e.g. B to D) is unsuccessful, the LPC may make a recommendation to the CPC to promote by one level.
- 5.3.12 Where a head of school is also an applicant for promotion, the relevant dean will nominate another member of the school or faculty to act in the role of Head on the LPC.

5.4 Central Promotions Committee – membership (Promotion to Levels C or D)

- 5.4.1 The membership of the committee will comprise:
- Provost and Deputy Vice-Chancellor (or nominee) (Chair) *ex officio*;
 - Chair of the Academic Board *ex officio*;
 - One senior academic from another university (nominated by the Provost);
 - Three members of the academic staff nominated by the Provost; and
 - Three members of the academic staff nominated by the Chair of the Academic Board;
 - Two reserves from the academic staff nominated jointly by the Provost and Chair of the Academic Board.
- 5.4.2 Those members who are not *ex officio* should normally serve for a period of no more than three consecutive years.

5.5 Central Promotions Committee – membership (Promotion to Levels E)

- 5.5.1 The membership of the committee will comprise:
- Vice-Chancellor (Chair) *ex officio*;
 - Provost and Deputy Vice-Chancellor *ex officio*;
 - Two deans (nominated by the Provost);
 - Chair of the Academic Board *ex officio*;
 - One senior academic from another university (nominated by the Vice-Chancellor);
 - Three professors (nominated by the Chair of the Academic Board); and
 - Two reserves from the professoriate nominated by the Chair of the Academic Board.
- 5.5.2 Those members who are not *ex officio* should normally serve for a period of no more than three consecutive years.

5.6 Central Promotions Committees – terms of reference

- 5.6.1 It is the task of the CPC to ensure that standards are equitable across the University and to make the final recommendations for or against promotion. The CPC will be guided by the advice of the LPC.
- 5.6.2 All members will provide a preliminary vote for each application. The votes will be tabulated, and made available at the CPC meeting, as a set of independent but open judgments which will serve as the basis for discussion and decisions.
- 5.6.3 Recommendation for promotion requires a positive vote from at least ~~7~~ two-thirds of the members of the CPC.

- 5.6.4 The CPC has the authority to recommend promotion by one level in the case of unsuccessful applications for promotion by two levels.
- 5.6.5 Where the CPC cannot fully endorse the LPC recommendation, the LPC Chair is consulted by the CPC before it makes its final decision on the recommendations.
- 5.6.6 Where the CPC does not endorse an LPC recommendation for promotion, the Chair will provide a written statement outlining the reasons to the unsuccessful applicant and to the LPC Chair.

6 Approval

The approval process for each level of promotion is as follows:

- Level B** – recommendation made by the LPC for approval by the Provost and Deputy Vice-Chancellor.
- Level C** – recommendation made by an LPC comprising of more than one faculty for approval by the Provost and Deputy Vice-Chancellor. Final recommendation made by CPC for approval by the Provost and Deputy Vice-Chancellor for all other applications.
- Level D** – recommendation made by the LPC. Final recommendation made by CPC for approval by the Provost and Deputy Vice-Chancellor.
- Level E** – recommendation made by the LPC. Final recommendation made by CPC for approval by the Senate Chair Appointments Committee.

7 Position and personal titles

Upon promotion the following position and personal titles will apply:

	Teaching & Research		Education Focused		Research Focused	
	Position Title	Personal Title	<u>Position Title</u>	<u>Personal Title</u>	Position Title	Personal Title
Level B	Lecturer	As per personal status (Dr, Ms, Mrs., Mr.)	<u>Lecturer</u>	<u>As per personal status (Dr, Ms, Mrs., Mr.)</u>	Research Fellow or <u>Lecturer</u>	As per personal status (Dr, Ms, Mrs., Mr.)
Level C	Senior Lecturer	As per personal status (Dr, Ms, Mrs., Mr.)	<u>Senior Lecturer</u>	As per personal status (Dr, Ms, Mrs., Mr.)	Senior Research Fellow or <u>Senior Lecturer</u>	As per personal status (Dr, Ms, Mrs., Mr.)
Level D	Associate Professor	Associate Professor	<u>Associate Professor</u>	<u>Associate Professor</u>	Principal Research Fellow or <u>Associate Professor</u>	Associate Professor
Level E	Professor or Professor in a specific field, as requested by the candidate and approved by the Vice-Chancellor	Professor	<u>Professor or Professor in a specific field, as requested by the candidate and approved by the Vice-Chancellor</u>	<u>Professor</u>	Professorial Research Fellow or <u>Professor in a specific field, as requested by the candidate and approved by the Vice-Chancellor</u>	Professor

8 Appeals

Appeals in relation to academic promotions will only be considered on the basis of a significant breach of procedure where it can be demonstrated that such a breach may have affected the outcome of the application.

The promotions guidelines policy and procedures are outlined in the Academic Promotions documentation Policy Statement on Promotion of Academic Staff, Committee Procedures and Guidelines for Applicants,

which are available from the Academic Promotions Unit, the Academic Promotions website at <http://www.usyd.edu.au/provost/promotions.shtml> or Policy Online. ~~Personnel Services Teams (or can be found at <http://www.usyd.edu.au/su/personnel/policy>).~~ It is the responsibility of applicants to make themselves familiar with these procedures.

8.1 Submitting an appeal

8.1.1 The deadline for the submission of an appeal is ~~fourteen days from the date of receipt of advice of the outcome of an application~~ as follows:

8.1.1.1 Within 14 days of the receipt of advice of the outcome of an application, the applicant should meet with the chair of the LPC and, where the chair was not also the dean of the applicant's faculty, the dean.

8.1.1.2 In the case of applications considered by a CPC, the applicant will have a further 7 days to meet with the chair of the relevant CPC.

8.1.1.3 Once an applicant has fulfilled 8.1.1.1 and where applicable 8.1.1.2, they will have a further 7 days to submit an appeal.

8.1.2 ~~An appeal should be submitted to the Vice-Chancellor, except where the Vice-Chancellor was the Chair of the CPC. In this case, the Vice-Chancellor will nominate a Deputy Vice-Chancellor to consider the appeal. All appeals must be submitted to the Vice-Chancellor.~~

8.1.3 Where the Vice-Chancellor was the chair of a CPC, the Vice-Chancellor will nominate a Deputy Vice-Chancellor to consider the appeal.

8.1.4 No additional material may be provided once the appeal has been submitted.

8.2 Consideration of the appeal

8.2.1 In considering the appeal, the Vice-Chancellor (or Deputy Vice-Chancellor) will have access to:

8.2.1.1 the applicant's letter setting out the basis of the appeal;

8.2.1.2 the application for promotion;

8.2.1.3 the referees' reports and, where appropriate, the Head of Department report or assessors' reports;

8.2.1.4 the report of the ~~FPC~~-LPC;

8.2.1.5 the report of the CPC (if appropriate); and

8.2.1.6 may seek other information, as appropriate.

8.2.2 The Vice-Chancellor (or Deputy Vice-Chancellor) will not reassess the application for promotion. The Vice-Chancellor (or Deputy Vice-Chancellor) will determine only whether any breach of procedure has occurred, and if it has occurred, whether this may have affected the outcome of the application.

8.3 Decision regarding the appeal

8.3.1 The Vice-Chancellor (or Deputy Vice-Chancellor) shall determine whether the appeal is upheld:

8.3.1.1 If the appeal is not upheld, the matter is closed.

8.3.1.2 If the appeal is upheld, the merits of the application shall be reconsidered.

8.3.2 The Vice-Chancellor's (or Deputy Vice-Chancellor's) decision is final.

8.4 Reconsidering the merits of the application (~~only for an upheld appeal~~) when an appeal is upheld

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- 8.4.1 The merits of the application shall be reconsidered by the original CPC, or, where an application was not considered at CPC level, the original LPC.
- 8.4.2 ~~The merits of the application shall be reconsidered by a~~ The committee should consist of as many members of the LPC or CPC who ~~originally considered the application as~~ are available. The committee membership is to exclude any member who may have been the object of the appeal and to include, where possible, the external member. At least ~~six~~ 75% of the members must be present.
- 8.4.3 The committee will
- 8.4.3.1 follow LPC or CPC procedures, whichever is applicable; and
 - 8.4.3.2 have access to any additional information that is related to the specific appeal leading to the reconsideration.
- 8.4.4 The committee will make a recommendation for or against promotion to:
- 8.4.4.1 for Levels B-D, the Vice-Chancellor for approval; and
 - 8.4.4.2 for Level E, the Senate Chair Appointments Committee for approval.

9 Policy administration

9.1 Background/Context

This policy provides the current processes and procedures for managing promotions and was developed after consultation with relevant parties.

9.2 Consultation

Amendments to the 2008 policy have arisen from feedback received from applicants, committee members and heads of schools. Consultation has also been made through the Academic Staffing Committee and the Academic Board.

9.3 Ownership

Academic Board

9.4 Management Responsibility

Provost and DVC

9.5 Implementation Responsibility

Deans, Provost and DVC

9.6 Approval

Approval	
Effect	
Review	

9.7 Signatures

Approved by:

Name

Position

Date

Signature