



THE UNIVERSITY OF SYDNEY

PROMOTION OF ACADEMIC STAFF TO LEVELS B, C AND D

APPLICANT INFORMATION

For the definitions of terms used in this policy document refer to the Delegations of Authority. As appropriate for the local nomenclature and reporting lines, when this document refers to Department read also School or Unit; to Faculty read also Graduate School of Business, Orange Agricultural College, Sydney College of the Arts, Sydney Conservatorium of Music or Administrative Unit; to Head read Head of Department/School/Unit; and to Dean read also Director or College Principal.

This policy is an attachment to and should be read in conjunction with the Policy Document - Promotion of Academic Staff to Levels B, C & D. Abbreviations are used throughout this document as follows: Faculty Promotion Committee (FPC), Central Promotion Committee (CPC)

STEPS

Seeking advice

BRIEF OUTLINE OF THE STEPS IN THE PROCESS

Staff wishing to apply for promotion should seek advice from their Professional Development Reviewer and Head, before submitting any promotion application and particularly after an unsuccessful application. The Dean may also be consulted.

Preparing the application

An application should be prepared within the framework given in "Advice and guidelines for applicants for the setting out of promotion applications" on pages 3-7 of this document.

Contacting and nominating referees

Applicants are required to submit the names, facsimile numbers and email addresses (if available) of no less than three and no more than five referees, including one referee who is familiar with and can comment on teaching and who is specified as such on the Academic Promotion Information Sheet. Members of a promotion committee should not be referees for any applicant who is to be considered by that committee.

Applicants should nominate referees who are in a position to offer impartial advice.

Applicants should contact their referees in advance to ascertain their willingness and availability to supply the referees' reports by the stipulated deadlines before nominating them. Late referees' reports will normally not be pursued.

Applicants should provide the referees with all material which they may require to assist them in the preparation of their report, such as a copy of the application or a curriculum vitae and publication list. A standard letter is sent to referees asking for an opinion of the academic and personal qualifications of the applicants (including teaching excellence). The standard letter is available for perusal from the Personnel Services Teams.

Submitting the application

Applicants are asked to submit twelve copies of the application material to the relevant Personnel Services Team, by the advertised closing date. Late applications will not be accepted.

Submitting copies of work

Applicants should ensure that they have given the faculty two copies of three pieces of published research/scholarship/creative work, at the time of submitting their application to the Personnel Services Team.

Signing the report of the Head

A report is requested from the Head. This must be countersigned by the applicant who has the right to provide a written response. The Head may not comment on the written response of the applicant.

(See Promotion of Academic Staff to Levels B, C and D - Head of Department Report, Attachment 3)

Updating an application	Applicants may update their application only at the time of interview, by submitting up to one page of significant additional information (applicants must provide twelve copies of this information). Any such information will be attached to the FPC report.
Constituting the promotion committees	<p>The FPC consists of a core group that considers all applicants at the same level in the faculty, supplemented by the additional members (including the Head) who are appointed for each individual applicant. <i>(See Promotion of Academic Staff to Levels B, C and D - Promotion Committee Procedures and Guidelines, Attachment 4)</i></p> <p>There is one CPC for each level of promotion. Membership of the CPCs is drawn from across the academic community. <i>(See Promotion of Academic Staff to Levels B, C and D - Promotion Committee Procedures and Guidelines, Attachment 4)</i></p> <p>Each applicant will be advised in writing of the membership of the individual FPC (by the relevant faculty office) and of the CPC membership (by the relevant Personnel Services Team) that will be considering his/her application.</p>
Consideration of the application	<p>Applicants may address objections concerning a member or members of the FPC or the CPC to the Deputy Vice-Chancellor (Academic and Staffing), within seven days of the date of receipt of the advice. <i>(See Academic Promotion Appeals, Attachment XXX)</i></p> <p>The application is first considered by the FPC which also conducts the interview.</p> <p>All applicants will be offered the opportunity for an interview but may decline to attend. Applicants who are away from the University during the period of the FPC meetings must do one of the following</p> <ul style="list-style-type: none"> • give permission for their application to be considered in absentia • return to the University, at their own expense, to attend the scheduled interview • defer their application until a promotion round when they will be available for interview. <p>Each applicant will be notified by the faculty officer, with acknowledgment of receipt of the application, of the approximate dates on which interviews will be held and will be advised, in writing, of the specific interview time at least one week prior to the interview. Interviews will be scheduled for up to 30 minutes. The purpose of the interview is to explore the application further and to provide the opportunity for the applicant to update his/her application.</p> <p>After consideration of the application and interviews (if held), the FPC votes for or against promotion for each applicant and the core members rank those applicants whose promotion is supported.</p>
Notification of outcome	<p>Applications and FPC recommendations are then considered by the CPC, which has the primary task of ensuring that standards are equitable across the University.</p> <p>The CPC makes a recommendation to the Academic Board for endorsement and to the Vice-Chancellor for approval. <i>(See Promotion of Academic Staff to Levels B, C and D - Promotion Committee Procedures and Guidelines, Attachment 4)</i></p> <p>All applicants will be advised in writing of the outcome of their application as soon as possible after the Academic Board meeting.</p> <p>In the case of applicants recommended for promotion by the FPC but not by the CPC, the CPC provides a short written statement, which is forwarded by the Chair of the CPC to the unsuccessful applicant and to the relevant FPC, indicating the criteria which have not been adequately met. All unsuccessful applicants will receive a copy of the portion of the FPC report which relates to their application. All unsuccessful applicants are encouraged to consult their Head and Dean as well as the Chair of the relevant CPC about their application.</p>

**Conditions
for appeal**

An appeal against an unsuccessful application for promotion may only be made on the basis of procedural error. An applicant has fourteen days from the date of receipt of notification of the unsuccessful application to lodge an appeal with the Vice-Chancellor.

(See Academic Promotions Appeals, Attachment XXX)

ADVICE AND GUIDELINES FOR APPLICANTS FOR THE SETTING OUT OF PROMOTION APPLICATIONS

The University recognises in evaluating performance that its staff work in diverse disciplines with different protocols and conventions, that they allocate time and talents in different ways, and that the University's well-being and reputation depends on a wide and varied range of contributions.

It also recognises that members of staff do not have the same opportunities to engage in the full range of academic activities. Thus academic profiles at the same level of appointment will be composed in different ways. However, the University considers teaching and research/scholarship/creative work as its core activities and also expects that all members of staff contribute to the overall work of their department.

Evaluation

Evaluation of academic performance at the University of Sydney is based, at each level of appointment, on four categories of activity

- teaching
- research/scholarship/creative work
- service and leadership within the University
- service and leadership to the profession, wider community and the development of Australian society

The University has four standards for evaluation relating to promotion

- outstanding
- superior
- satisfactory
- unsatisfactory.

These standards are understood as follows

(See Criteria for Progression for Academic Levels A, B, C and D)

- outstanding - significantly exceeding the criteria at the current level of appointment and satisfying the criteria at the next level
- superior - meeting the criteria at the current level of appointment at an advanced standard
- satisfactory - meeting the criteria at the current level of appointment
- unsatisfactory - not meeting the criteria at the current level of appointment.

To be promoted, applicants must be assessed as outstanding in at least two categories, superior in a third, and satisfactory in the fourth:

- for promotion to Levels B and C, one of either teaching or research/scholarship/creative work must be outstanding
- for promotion to Level D "Associate Professor", one of either teaching or research/scholarship/creative work must be outstanding and the other of at least superior standard
- for promotion to Level D "Reader", research/scholarship/creative work must be outstanding and the applicant must have demonstrated international research or creative leadership, and his/her teaching must be of at least superior standard.

General comments on the preparation of the application

The following comments are provided to assist in the preparation of an application for promotion. To best appreciate what needs to go into a written application, an applicant should understand the process by which it will be assessed.

(See Promotion of Academic Staff to Levels B, C and D - Promotion Committee Procedures and Guidelines, Attachment 4.)

The application serves as a critical source of information for the Head and the referees in preparing their reports and for the assessment by the FPCs and CPCs. It is unlikely that either the applicant or the applicant's work will be known to all committee members who thus rely on the application as their main source of information.

It is therefore of crucial importance that applications are clear, well structured and readable. Applications should be as concise as possible while indicating those areas of endeavour considered to represent the applicant's particular strengths that justify promotion.

Specific guidelines

These guidelines are intended to ensure that all relevant information is provided but are not a strict specification for the structure of an application, which should rather be designed for the best presentation of the case for promotion.

Applicants should emphasise their achievements since their last appointment or promotion or since their last application for promotion.

The application should include in the following order

(Refer to 'Detailed guidelines' below)

- 1. Academic Promotions Information Sheet**
- 2. Statement summarising the applicant's application**
- 3. Teaching portfolio**
- 4. Brief statement on and list of research/scholarship/creative work**
- 5. Brief statement on and list of service and leadership in the University**
- 6. Brief statement on and list of contributions to the profession and the community**

No other material or attachments may be submitted.

Detailed guidelines

It is not necessary for an applicant to try to submit an entry under every heading, as not all activities will be relevant to any one applicant. The same material must not be listed under more than one heading (cross referencing should be used where necessary).

1. Academic promotions information sheet

[The Academic Promotions Information Sheet (not currently attached) will be constructed to include, amongst other things:

** information about experience prior to joining the University.*

** a statement that whilst the whole career might be included, applicants should show clearly those aspects of teaching/research/scholarship/creative work/service since their appointment or last promotion (whichever most recent)]*

(See Promotion of Academic Staff to Levels B, C and D - Academic Promotions Information Sheet, Attachment 2)

2. Statement summarising applicant's application

A succinct statement of no more than 1000 words summarising the applicant's application for promotion. In this statement applicants should highlight what they see as their particular contribution to the University as well as pointing to significant achievements in teaching, research/scholarship/creative work, service and leadership to the University, profession and wider community.

These achievements might be placed in the context of normal expectations in the discipline and of the extent of opportunities available.

**3.
Teaching
portfolio**

The teaching portfolio should include

- **The teaching activities form**
The Head must also complete and sign this form.
- **Unit of study material**
A sample outline for one unit of study which includes statements on the applicant's teaching goals, means for assessment of students' progress towards those goals and for unit of study evaluation.
- **A succinct statement of no more than 500 words of self evaluation of teaching** which discusses strategies, philosophy, approaches to and achievements in teaching and learning, use made and responses to student evaluations.
- **Evidence for scholarship in teaching/outstanding teaching**, where relevant.

(See Criteria for Progression for Academic Levels A, B, C and D)

**4.
Brief statement
and list of
research /
scholarship /
creative work**

The application should include

- a succinct statement of no more than 500 words outlining the applicant's contribution to research/scholarship/creative work and the impact of that contribution
- a listing of their research/scholarship/creative work activity.

Research/scholarship/creative work, for the purposes of evaluation, includes the creation, extension, synthesis, consolidation, application and critical appraisal of knowledge. It also includes creative and artistic work where these relate to the discipline area of the applicant.

Research/scholarship/creative work activity should be listed under the headings below. It is recognised that the nature of research/scholarship/creative work and its reporting, funding and performing differ widely among disciplines and so not all the headings will be relevant to any one applicant.

(See Criteria for Progression for Academic Levels A, B, C and D)

- **Academic awards and distinctions**
A list of awards, medals, prizes, memberships of academies and other research/scholarship/creative work distinctions.
- **A list of publications relevant to the reporting of research/scholarship/creative work**
Only works that have been published should be listed here.
Publication includes research/scholarship/creative work output in the forms recognised as appropriate for the discipline. It is useful to indicate by asterisks the most significant publications and where a work is joint authored to indicate the contribution of the applicant. Publications should be indicated and divided into the following categories
 - books
 - edited books
 - chapters in books
 - articles/notes/communications in refereed journals, indicating length
 - major reviews
 - other articles/papers
 - patents
 - refereed full length conference papers
 - university/ departmental reports
 - unrefereed conference papers
- **Evidence of critical response to most important publications**
eg: critical reviews, citations (note: a list of citations on its own indicates little since they may all be unfavourable).

5.
**Brief statement
and list of
service and
leadership in
the University**

- **Work in progress**
A list of work under the headings, “in press”, “accepted for publication”, and, “submitted for publication” and a brief outline of current projects and expected outcomes.
- **Competitive research or creative work funding**
A list of grants with the name of the granting body, the date, duration and sum of the grant, the title of the project and the names of the investigators and their designated roles (eg: chief investigator).
- **Commissioned research or creative work**
A list of research/scholarship/creative work activities (eg: government report) carried out for external or internal organisations giving date and duration, the name of the commissioning body, the nature of the reporting and the funding where relevant.
- **Invited presentations over the past five years**
- **Visiting appointments held at other institutions**
- **Professional personnel who work or have worked with the applicant**
- **Unpublished conference papers over the past five years**
- **Contribution to research organisations**
This might include editorship or membership of editorial boards of journals, book reviews, reading manuscripts for journals and publishers, examination of postgraduate theses, reviewing of exhibitions and performances, reviewing grant applications, organisation of research workshops.
- **Creative or artistic work**
This might include exhibitions, performances, compositions, recordings, programme notes, published scripts of creative work, plays, films, television and radio programmes, critical citations, citations in publications, evidence of critical response.

- A succinct statement, if appropriate to the application, of no more than 500 words outlining the applicant’s contribution to service and leadership in the University
- A listing of service and leadership in the University

Applicants should indicate contribution made in the positions held, the degree of initiative, judgement and responsibility exercised and the changes and developments where his/her contribution has been substantial and significant.

Service and leadership should be expressed in terms of the following list. This list is indicative only.

Positions held at the

- departmental
- faculty
- college and
- university level

and

- positions held on outside bodies on the University’s behalf.

(See Criteria for Progression for Academic Levels A, B, C and D)

6.
**Brief statement
and list of
contribution to
the profession
and the
community**

- A succinct statement, if appropriate to the application, of no more than 500 words outlining the applicant’s contribution to the profession and the community.
- A listing of positions and contributions.

This category is more relevant to some disciplines than others and because of the extent of possible contributions, it is neither possible nor desirable to produce an exhaustive list. The list below is indicative only.

(See Criteria for Progression for Academic Levels A, B, C and D)

- **Professional activity**

Evidence for significant involvement in professional activity might include

 - positions of leadership in professional societies
 - liaison with constituencies in ways which promote scholarship, teaching and research/scholarship/creative work
 - organisation of conferences, seminars, field days, professional development courses
 - professional consultancies
 - commissioned reports
 - originality in applied work such as the development of new techniques which have been accepted and used by the profession/industry/community
 - structures judged as expanding the discipline
 - professional awards and distinctions
 - appointment and contribution to outside advisory organisations, tribunals, committees of inquiry because of professional expertise and reputation
 - appointment and contribution to boards of management of community and public organisations because of professional expertise and reputation
 - appointment as judges on adjudication panels to assess performance and creative work.
- **Community service**

Community service might include activities such as

 - contribution of professional expertise to community organisations
 - engagement as a 'public intellectual' for example through participation in public debates
 - dissemination and popularisation of research/scholarship/creative work through appearances on radio and television, interviews and articles for the print media and talks to community organisations.