



Academic Board Agenda

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NOTICE OF MEETING

A meeting of the **ACADEMIC BOARD** will be held at **2 pm on Wednesday 10 March 1999** in the Professorial Board Room.

Members who are unable to attend are asked to notify Erica Ring at the above address. Enquiries concerning this meeting may also be directed to Miss Ring.

Erica Ring
for
Dr W Adams
Registrar
3 March 1999

AGENDA

Pages

☆ 1. **Apologies**

2. **Arrangement of Agenda**

☆ 2.1 **Starring of items**

2.2 **Adoption of unstarred items**

Recommendation

That the Academic Board resolve as recommended with respect to all unstarred items.

3. **Minutes of previous meeting**

Yellow enclosure

Recommendation

That the Academic Board adopt the minutes of the previous meeting held on 10 February 1999 as a true record.

4. **Business arising from Minutes (not dealt with elsewhere in the Agenda)**

Undergraduate fee-paying students

Recommendation

That the Academic Board note that information is being compiled on the progress of undergraduate fee-paying students who commenced in 1998 and on the percentage that have succeeded in gaining HECS-liable places in 1999.

5. **Report of the Chair**

5.1 Report on Senate matters

5.1.1 Report of the Senate meeting held on 1 March 1999

Supplementary
agenda (tabled)

Recommendation

That the Academic Board note the report of the Chair of the Academic Board on academic matters considered by Senate at its meeting on 1 March 1999.



5.2 General report

6. **Report of the Vice-Chancellor and Principal**

6.1 Report on Senate matters

6.1.1 Report of the Senate meeting held on 1 March 1999

Supplementary
agenda (tabled)

Recommendation

That the Academic Board note the report of the Vice-Chancellor and Principal on matters considered by Senate at its meeting on 1 March 1999.



6.2 General report

7. **Undergraduate Studies Committee**

7.1 Report of the meeting held on 16 February 1999

9-11

7.1.1 Receipt of report

Recommendation

That the Academic Board receive and note the report of the Undergraduate Studies Committee meeting held on 16 February 1999.

- 7.1.2 Approval in principle for a new degree/major changes to an existing degree** 9
Faculty of Education
- 7.1.2.1 Bachelor of Education (Secondary: Humanities and Social Sciences)/Bachelor of Arts, Bachelor of Education (Secondary: Humanities and Social Sciences)/Bachelor of Economics (Social Sciences), Bachelor of Education (Secondary: Mathematics)/Bachelor of Science, Bachelor of Education (Secondary: Science)/Bachelor of Science**
- Recommendation**
That the Academic Board recommend that Senate approve in principle the proposal of the Faculty of Education for the degrees of
Bachelor of Education (Secondary: Humanities and Social Sciences)/Bachelor of Arts,
Bachelor of Education (Secondary: Humanities and Social Sciences)/Bachelor of Economics (Social Sciences),
Bachelor of Education (Secondary: Mathematics)/Bachelor of Science and
Bachelor of Education (Secondary: Science)/Bachelor of Science,
for introduction in 2000, as set out in the report presented.
- 7.1.3 Amendment of the Resolutions of the Senate** 9-10
Orange Agricultural College
- 7.1.3.1 Bachelor of Land Management**
- Recommendation**
That the Academic Board:
(i) approve the proposal of Orange Agricultural College for major changes in 1999 to the existing degree of Bachelor of Management (Land Resources); and
(ii) approve the amendment of the Resolutions of the Senate relating to the above degree, with effect from 1 January 1999, as set out in the report presented.
- 7.1.4 Proceedings of the Committee** 10-11
- Recommendation**
That the Academic Board note the proceedings of the Undergraduate Studies Committee meeting held on 16 February 1999 relating to the following matters:
- 4.1 Honours grades and grading
 - 4.2 Review of Resolutions of the Senate, Academic Board and Faculties in respect of degrees/approval mechanisms for new or amended courses of study
 - 4.3 Four year undergraduate courses
 - 4.4 Minor changes to Senate resolutions
 - 4.5 Common result grades
 - 4.6 Alternate Chair
 - 4.7 Membership of the Teaching and Learning Committee
 - 4.8 Management of examination procedures



8. Graduate Studies Committee

8.1 Report of the meeting held on 22 February 1999 12-17

8.1.1 Receipt of report

Recommendation

That the Academic Board receive and note the report of the Graduate Studies Committee meeting held on 22 February 1999.

8.1.2 Amendment of the Resolutions of the Senate

8.1.2.1 Faculty of Arts: Master of Letters 12

That the Academic Board recommend:

- (i) *that Senate approve the proposal of the Faculty of Arts for the addition of Ancient History to the list of subject areas in which the Master of Letters is offered, for introduction in 1999; and*
- (ii) *the amendment of the Resolutions of the Senate relating to the degree of Master of Letters, with effect from 1 January 1999, as set out in the report presented.*

8.1.2.2 Faculty of Medicine: Master of Pharmacy, Master of Pharmacy (Clinical) and Graduate Diploma in Hospital Pharmacy 12-13

That the Academic Board recommend:

- (i) *that Senate approve the transfer of the Resolutions of the Senate relating to the degrees of Master of Pharmacy and Master of Pharmacy (Clinical) and the Graduate Diploma in Hospital Pharmacy from the Faculty of Science to the Faculty of Medicine, from 1 January 1999, as presented in the report; and*
- (ii) *the amendment of the Resolutions of the Senate relating to the degrees and diplomas offered in the Faculties of Medicine and Science to reflect the above change, from 1 January 1999.*

8.1.2.3 Faculty of Nursing: Master of Nursing and Graduate Diploma in Nursing 13-14

That the Academic Board recommend:

- (i) *that Senate approve the proposal from the Faculty of Nursing for the introduction of the new specialisation of Rural and Remote Nursing in the Master of Nursing degree and the Graduate Diploma in Nursing, for implementation in 1999; and*
- (ii) *the amendment of the Resolutions of the Senate relating to the Master of Nursing degree and the Graduate Diploma in Nursing, with effect from 1 January 1999, as set out in the report presented.*

8.1.3 Reference from the Academic Board: Reciprocal borrowing usage fee for postgraduate students 14

Recommendation

That the Academic Board note the report of the Graduate Studies Committee on its deliberations relating to the Reference from the Board on the reciprocal borrowing usage fee for postgraduate students.

8.1.4 Proceedings of the Committee 14-17

Recommendation

That the Academic Board note the proceedings of the Graduate Studies Committee meeting held on 22 February 1999 relating to the following matters:

- 4.1 Changes in Committee Membership
- 4.2 Report of the PhD Award Sub-Committee
 - (a) Reports from faculties for the fourth quarter 1998
 - (i) PhDs awarded at faculty-level
 - (ii) Summary of PhD examination times
 - (b) Student cases
- 4.3 Report of the Coursework Sub-Committee
- 4.4 Review of management structures and processes with respect to research higher degree programs
- 4.5 Degree load pass rates
- 4.6 Higher doctorates
 - (a) Admission to candidature and appointment of examiners
 - (b) Appointment of fourth examiner and assessor
 - (c) Award of degree
- 4.7 Appointment of a postdoctoral fellow as a PhD supervisor
- 4.8 Report on Minor changes to postgraduate courses
- 4.9 Work in progress

☆ **8.2 Report of the Chair**

9. Teaching and Learning Committee

9.1 Receipt of report

Recommendation

That the Academic Board note that the Teaching and Learning Committee has not met since its last report to the Board.

☆ **9.2 Report of the Chair**

10. Research Committee

10.1 Report of the meeting held on 16 February 1999 18-20

10.1.1 Receipt of report

Recommendation

That the Academic Board receive and note the report of the Research Committee meeting held on 16 February 1999.

10.1.2 The University of Sydney's policy on the receipt of funding from the Tobacco Industry 18

Recommendation

That the Academic Board note the report of the Research Committee on its deliberations relating to the University's policy on the receipt of funding from the Tobacco Industry.

10.1.3 Proceedings of the Committee 18-20

Recommendation

That the Academic Board note the proceedings of the Research Committee meeting held 16 February 1999 relating to the following matters:

- (1) Matters arising from previous meetings, not covered in the agenda
- (2) Code of Conduct for Responsible Research Practice and Guidelines for Dealing with Allegations of Research Misconduct
- (3) Research Centres within the University
- (4) Fair Acknowledgment of contributions to publications
- (5) Reports
Report by Pro Vice-Chancellor (Research)
Report of the Director Business Liaison Office
Report by Director, Research and Scholarships

☆ **10.2 Report of the Chair**

11. Library Committee

11.1 Report of the meeting held on 22 February 1999 21-23

11.1.1 Receipt of report

Recommendation

That the Academic Board receive and note the report of the Library Committee meeting held on 22 February 1999.

11.1.2 Reciprocal Borrowing Scheme (1.07/99) 22

Recommendation

That the Academic Board note the Library Committee's recommendation and make a determination on the matter in light of advice received from the Graduate Studies Committee.

11.1.3 Proceedings of the Committee 21-23

Recommendation

That the Academic Board note the proceedings of the Library Committee meeting held on 22 February 1999 relating to the following matters:

- 1.02/99 Minutes of the Previous Meeting
- 1.03/99 Business Arising from the Minutes
- 1.04/99 Chair's Report
- Strategic Development Fund Allocation
- 1.05/99 University Librarian's Report
- Research Equipment and Infrastructure Fund Grants
- Scholarly Communication
- Pharmacy Library
- Orange Agricultural College and Sydney College of the Arts
- 1.06/99 Library Funding
- 1.08/99 Library Restructuring Program
- 1.09/99 Flexible Learning
- 1.10/99 Use of Email for Library Notices
- 1.11/99 Notification of Acquisitions
- 1.12/99 Other Business

☆ **11.2 Report of the Chair**

12. Academic and Staffing Committee

12.1 Report of the meeting held on 17 February 1999 24-55

12.1.1 Receipt of report

Recommendation

That the Academic Board receive and note the report of the Academic Staffing Committee meeting held on 17 February 1999.

12.1.2 Policy Document: Promotion of Academic Staff to Levels B, C, D and E (Lecturer, Senior Lecturer, Associate Professor, Reader, Professor) and Academic Research-only Staff to Levels B, C, D and E - Promotion Committee Procedures and Guidelines 24, 25-31

Recommendation

That the Academic Board endorse the Policy Document and commend it to the Vice-Chancellor for approval.

12.1.3 Policy Document: Promotion of Academic Research-Only Staff to Levels B, C and D 24, 32-45

Recommendation

That the Academic Board endorse the Policy Document and commend it to the Vice-Chancellor for approval.

12.1.4 Policy Document: Promotion of Academic Research-Only Staff to Level E 24, 46-55

Recommendation

That the Academic Board endorse the Policy Document and commend it to Senate for approval.

12.1.5 Proceedings of the Committee 24

Recommendation

That the Academic Board note the proceedings of the Academic Staffing Committee meeting held 17 February 1999 relating to the following matters:

- (1) Policy Document: Promotion of Teaching-only Staff Levels B and C



12.2 Report of the Chair

13. General Business

13.1 Cancellation of the April Board meeting 56

Recommendation

That the Academic Board:

- *cancel the meeting of the Board scheduled to be held on 14 April 1999; and*
- *authorise the Chair of the Board to act on its behalf in any urgent matter which may arise following the March Board meeting and which cannot await the May meeting of the Board.*

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- 13.2 Membership of the Academic Board** 56
- 13.2.1 Casual vacancy in Board membership by a head of department**
- Recommendation**
That the Academic Board appoint Associate Professor Elspeth Probyn to membership of the Board under Section 43.(2) of the Academic Governance Rules, to hold office from 10 March 1999 to 31 December 2000.
- 13.3 Appointment of Members of Central Promotion Committees** 56-57
- Recommendation**
That the Academic Board note the changes made to membership of Central Promotions Committees.
- 13.4 Membership of Board Committees** 57-61
- Recommendation**
That the Academic Board note the membership of its committees.

AGENDA ITEM 7.

Report of the Undergraduate Studies Committee

7.1 Report of the meeting held on 16 February 1999

The Committee met on 16 February 1999 when there were present Professor Jocalyn Lawler (Chair), Professor Ben Boer, Mr Hal Davey, Associate Professor Lloyd Dawe, Dr David Evans, Associate Professor Christopher Gillies, Dr Jim Kitay, Dr Edith Lees, Mr Michael Frost, Dr Michael Walsh and Mr Ross Wilson. Mrs Lynda Rose was in attendance.

1. Receipt of report

The Committee **recommends** that the Board receive and note the following report of its meeting held on 16 February 1999.

2. Approval in principle for a new degree/major changes to an existing degree

2.1 Faculty of Education

2.1.1 Bachelor of Education (Secondary: Humanities and Social Sciences)/Bachelor of Arts, Bachelor of Education (Secondary: Humanities and Social Sciences)/Bachelor of Economics (Social Sciences), Bachelor of Education (Secondary: Mathematics)/Bachelor of Science, Bachelor of Education (Secondary: Science)/Bachelor of Science

The Faculty of Education has submitted an initial proposal for the degrees of Bachelor of Education (Secondary: Humanities and Social Sciences)/Bachelor of Arts, Bachelor of Education (Secondary: Humanities and Social Sciences)/Bachelor of Economics (Social Sciences), Bachelor of Education (Secondary: Mathematics)/Bachelor of Science and Bachelor of Education (Secondary: Science)/Bachelor of Science, for introduction in 2000.

The purpose of this proposal is to offer the existing BEd(Secondary) degrees in combination with the existing BA, BEc(SocSc) and BSc. It is intended that enrolment in the BEd (Secondary) degrees only be offered through enrolment in the combined programs.

It is hoped that the combined programs will appeal to students considering, but not committed to teaching, and to those considering teaching and training roles beyond the school system.

Recommendation

That the Academic Board recommend that Senate approve in principle the proposal of the Faculty of Education for the degrees of Bachelor of Education (Secondary: Humanities and Social Sciences)/Bachelor of Arts, Bachelor of Education (Secondary: Humanities and Social Sciences)/Bachelor of Economics (Social Sciences), Bachelor of Education (Secondary: Mathematics)/Bachelor of Science and Bachelor of Education (Secondary: Science)/Bachelor of Science, for introduction in 2000.

3. Amendment of the Resolutions of the Senate

3.1 Orange Agricultural College

3.1.1 Bachelor of Land Management

Orange Agricultural College has submitted a proposal for the introduction in 1999 of major changes to the existing degree of Bachelor of Management (Land Resources).

As a result of a working party comprising representatives of the Faculties of Agriculture and Science and Orange Agricultural College, it was agreed that Orange Agricultural College introduce the course title Bachelor of

Land Management to replace the existing course title Bachelor of Management (Land Resources).

Recommendation

That the Academic Board recommend that Senate:

- (i) approve the proposal of Orange Agricultural College for major changes in 1999 to the existing degree of Bachelor of Management (Land Resources); and
- (ii) approve the amendment of the Resolutions of the Senate relating to the above degree, with effect from 1 January 1999, as set out below:

Degrees, Diplomas and Certificates in Orange Agricultural College

The Resolutions of the Senate relating to the Degrees, Diplomas and Certificates in Orange Agricultural College (p. 720, *Calendar 1998*, Vol I, as amended) are amended to the following effect from 1 January 1999:

- by replacing
1(e) Bachelor of Management (Land Resources) (BMgmt (LandRes));
with
1(e) Bachelor of Land Management (BLandMgmt)
- by replacing in the heading containing course titles immediately following 2(m):
the course title '**Bachelor of Management (Land Resources)**'
with '**Bachelor of Land Management**'.

Requirements for the Pass Degree

- by amending 4(e) by replacing the words '**Bachelor of Management (Land Resources)**' with the words '**Bachelor of Land Management**'.

Table of Units

- by changing the heading on the table of units: '*Table of Units: Bachelor of Management (Land Resources) and Advanced Diploma of Land Management*' by replacing the words '**Bachelor of Management (Land Resources)**' with the words '**Bachelor of Land Management**'

4. Proceedings of the Committee

4.1 Honours grades and grading

The Committee noted that responses had been received to the Committee's request for information on rules for the award of honours from the Faculties of Agriculture, Architecture, Arts, Dentistry, Economics, Education, Engineering, Health Sciences, Law, Science, Veterinary Science, Graduate School of Business, Sydney Conservatorium of Music, Sydney College of the Arts and Orange Agricultural College.

It was agreed that this would be discussed further at the March meeting when a summary of these responses would be available.

4.2 Review of Resolutions of the Senate, Academic Board and Faculties in respect of degrees/approval mechanisms for new or amended courses of study

The Chair reported that there had been a good response from faculties to the request for comment on the review of resolutions of the Senate, Academic Board and Faculties. The majority of responses had been positive. Feedback on matters where it was felt more work needed to be done and on areas of confusion had also been received.

A second draft of the review taking these comments into consideration would be available at the March meeting. It was hoped that this second draft would include exclusions material and a clearer document on academic delegations.

4.3 Four year undergraduate courses

The Chair reported that the issues emerging from the request from Senate to consider the merit and practicality of four year undergraduate courses and the introduction of a requirement that only students who have completed an undergraduate degree be admitted to professional faculties were substantial.

The Chair advised the Committee that a preliminary report to the Senate was being prepared and it was hoped that it would be available for perusal by the Committee at the March meeting.

4.4 Minor changes to Senate resolutions

The Committee noted minor changes to the Bachelor of Dental Surgery.

4.5 Common result grades

4.6 Alternate Chair

4.7 Membership of the Teaching and Learning Committee

4.8 Management of examination procedures

AGENDA ITEM 8.

Report of the Graduate Studies Committee

8.1 Report of the Graduate Studies Committee meeting of 22 February 1999

The Committee met on 22 February 1999 when there were present: the Chair, Professor G P Steven, presiding, Dr E Baily, Mr B Baldwin, Ms F Everingham, Professor J Gero, Associate Professor A F Masters, Dr P McCallum, Associate Professors F Nicholas, R Ross and C D Shorey, Professor D Sidle, Mr D Trudinger, Dr L Unsworth, Dr S West and Mr T Wills. Miss E R Ring was in attendance.

1. Receipt of report

The Committee recommends that the Board receive and note the following report of its meeting held on 22 February 1999.

2. Amendment of the Resolutions of the Senate

2.1 Faculty of Arts: Master of Letters

In September 1998, a Graduate Studies Committee Working Party considered a proposal from the Faculty of Arts for the introduction of a number of new subject areas for a number of courses offered by the Faculty of Arts. The Working Party recommended the introduction of the subject areas, as recommended in the Faculty's report, and the recommendations were subsequently approved by the Academic Board. The explicit recommendation for the addition of Ancient History to the list of subject areas in which the Master of Letters is offered was accidentally omitted from the Faculty's report to the Committee and from the Committee's report to the Board.

The Committee **recommends:**

- (i) that the proposal of the Faculty of Arts for the addition of Ancient History to the list of subject areas in which the Master of Letters is offered be approved, for introduction in 1999; and
- (ii) that the amendment of the Resolutions of the Senate relating to the degree of Master of Letters be approved, with effect from 1 January 1999, as set out below:

Amendment of the Resolutions of the Senate

The Resolutions of the Senate relating to the Master of Letters, (pp 306-7, *Calendar 1998, Volume I: Statutes and Regulations*) are amended to the following effect from 1 January 1999:

- by inserting into the subject areas set out in section 8. the following new subject area:
"Ancient History"

2.2 Faculty of Medicine: Master of Pharmacy, Master of Pharmacy (Clinical) and Graduate Diploma in Hospital Pharmacy

As a result of the agreement that the Faculty of Medicine administer postgraduate student matters of the Department of Pharmacy, the Faculty of Medicine has recommended that the Resolutions of the Senate relating to the degrees of Master of Pharmacy and Master of Pharmacy (Clinical) and the Graduate Diploma in Hospital Pharmacy be transferred from the Faculty of Science to the Faculty of Medicine.

The Committee **recommends:**

- (i) that the Resolutions of the Senate relating to the degrees of Master of Pharmacy and Master of Pharmacy (Clinical) and the Graduate Diploma in Hospital Pharmacy (as set out on pages 691, 694 and 695 in the *1998 Calendar Volume I: Statutes and Regulations*) be transferred from the

- Faculty of Science to the Faculty of Medicine, from 1 January 1999, as recommended; and
- (ii) that the lists of degrees and diplomas offered in the Faculties of Medicine and Science be amended to reflect the above change, from 1 January 1999.

2.3 Faculty of Nursing: Master of Nursing and Graduate Diploma in Nursing

The Committee received a report from a Working Party it had appointed to consider a proposal from the Faculty of Nursing for the introduction of the new specialisation of Rural and Remote in the Master of Nursing degree and the Graduate Diploma in Nursing.

The purpose of the initiative is to meet the need to enhance health care services to Australia's remote and rural areas. The initiative will prepare registered nurses for speciality practice in rural and remote nursing and will also provide the educational basis for the role of nurse practitioner in rural and remote areas, an initiative introduced by the NSW State Government in 1998.

The market(s) for the program are: rural and remote nurses who are employees of the Far West Area Health Service; experienced remote area registered nurses from other Area Health Services; nurses being attracted to work in rural and remote areas; registered nurses eligible for registration in NSW who work in similar settings overseas; experienced registered nurses who already hold a non-tertiary specialty qualification and who wish to upgrade that qualification; and nurses who wish to specialise in this field.

The program is organised on the same basis as existing specialisations in the Master of Nursing and Graduate Diploma in Nursing courses: two-thirds coursework (48 credit points); and one-third individual project work (24 credit points). All units will be taught by distance education mode. Initially, the only method of candidature is part-time mode over six semesters. There is provision to admit students to full-time candidature over three semesters after the program has been operating for two years.

Teaching methodology will vary according to the nature of the subject matter and expertise to be mastered, but will be based on the principles of flexible learning. Learning activities will be related to print-based materials, supported by additional media. Students will be required to attend specified study-days at Broken Hill Base Hospital, and a five-day residential school in first semester of first year. This will include an orientation to the University setting and guidance about writing at the tertiary level. Students will be expected to have access to, and be familiar with, a variety of technology-based media, especially e-mail. There will be a strong focus on field experience and experience-based exercises as the basis for some of the student's written assessment.

The Committee **recommends** that

- (i) the proposal from the Faculty of Nursing for the introduction of the new specialisation of Rural and Remote Nursing in the Master of Nursing degree and the Graduate Diploma in Nursing, for implementation in 1999, be approved; and
- (ii) the Resolutions of the Senate be amended, with effect from 1 January 1999, as set out below:

Amendment of the Resolutions of the Senate

Master of Nursing

The Resolutions of the Senate relating to the degree of Master of Nursing (pp 602-3, *Calendar 1998, Volume 1: Statutes and Regulations*) are amended to the following effect from 1 January 1999:

Section 2. relating to the speciality subject areas is amended by the addition of the following new sub-section:

- (g) Rural and Remote

Graduate Diploma in Nursing

The Resolutions of the Senate relating to the Graduate Diploma in Nursing (p 606, *Calendar 1998, Volume 1: Statutes and Regulations*) are amended to the following effect from 1 January 1999:

Section 1. relating to the speciality subject areas is amended by the addition of the following new sub-section:

(g) Rural and Remote

3. Reference from the Academic Board: Reciprocal borrowing usage fee for postgraduate students

The Committee noted that the Academic Board, at its meeting on 10 February 1999, had discussed the following motion from Mr Trudinger and that during discussion, the Board had noted that it was not empowered to direct the University Librarian in respect of resource matters, but had agreed to seek the advice of the Graduate Studies Committee and the Library Committee on the issue:

That postgraduate students be exempted from payment of the reciprocal borrowing usage fee in 1999.

The Committee noted that Mr Baldwin wished to consult with members of Orange Agricultural College on this matter, and it was therefore agreed to defer compiling a formal response to the Board until the Committee's next meeting.

4. Proceedings of the Committee

4.1 Changes in Committee Membership

The Committee noted that Associate Professor John Small (Engineering) had replaced Professor Kenny Kwok, Mr Basil Baldwin (Orange Agricultural College) had replaced Dr Mary Jane Mahony, Dr Eril Baily (Sydney College of the Arts) had replaced Mr Brad Buckley and Mr Tarrin Wills (postgraduate student member) had replaced Miss Catherine Tabrett. Ms Fran Everingham had joined the Committee as the new member of the Teaching and Learning Committee.

The Committee welcomed the new members and thanked the retiring members for their contributions to the work of the Committee.

4.2 Report of the PhD Award Sub-Committee

The Committee received reports of the PhD Award Sub-Committee meetings of 15 December 1998 and 9 February 1999.

The Sub-Committee's reports included the following information:

(a) Reports from faculties for the fourth quarter 1998

(i) PhDs awarded at faculty-level

The Sub-Committee noted the reports from faculties for PhDs awarded at faculty level from October to December 1998 as tabulated below. It was noted that no PhDs were awarded at faculty level by the Faculty of Nursing, Orange Agricultural College and Sydney College of the Arts. No response was received from the Faculty of Education.

Faculty	Award	Award Subject to	
		Correction of typographical errors	All emendations
Agriculture	0	0	9
Architecture	0	0	3
Arts	2	2	6
Dentistry	0	1	0
Economics	1	1	1
Engineering	1	2	5
Health Sciences	1	0	0
Law	0	1	1
Medicine	0	8	11
Science	4	1	21
Veterinary Science	0	1	2
Graduate School of Business	1	0	0

(ii) Summary of PhD examination times

The Sub-Committee noted the summary of examination times for PhDs awarded directly at faculty level. It was noted that 29% of examination times still exceeded a six month time frame. It was agreed that the Chair would write to faculties asking for their comments on streamlining the examination process.

Faculty	Total	Number awarded within specified months from submission								
		2 mths	3 mths	4 mths	5 mths	6 mths	7 mths	8 mths	9 mths	>9 mths
	9		2	2	2	2	1			
Architecture	3	1		2						
Arts	10		1	2	2	1	1	1		2
Dentistry	1					1				
Economics	3	1				1				1
Engineering	8	1	1	5		1				
Health Sciences	1			1						
Law	2		1	1						
Medicine	19		4	3	4	5	1			2
Science	26		8	8	6	1	1	2		
Veterinary Science	3			1	1	1				
Grad School of Business	1			1						
TOTAL	86	3	17	26	15	13	4	3	-	5

The Committee expressed concern over the protracted examining times, especially in respect of 29% of candidatures taking more than six months.

The Committee noted that with the advent of the green paper on research education, it would become more difficult to attract and to keep good students. The University would be judged by how it supervised and administered candidatures, and improvements would have to be made in the examining process.

It was noted that the Sub-Committee did not have data on when theses were actually sent out for examination, in relation to the time of submission, and that the Sub-Committee was not able to track the progress of examinations in respect, for example, of the time between receipt of examiners' reports and a decision being made in respect of the award of the degree or a recommendation being referred to the Sub-Committee. The Sub-Committee could only review individual cases after problems had arisen.

The Chair of the Sub-Committee, Associate Professor Masters, would be writing to faculties about streamlining the examining process. It had come to light that not all faculties used the "intention to submit form" whereby students gave notice that they would be submitting in three months; this procedure enabled faculties to have examiners in place so that the thesis could be sent to them immediately upon submission. Consideration needed to be given to whether the current procedures were being followed in faculties and also to how the procedures themselves could be improved. The possibility was suggested that the thesis receipt not be issued until the appointment of examiners form was received by the faculty. It would be undesirable to introduce restrictive practices to cater for the lowest common denominator.

The Committee noted that the appointment of a Dean of Graduate Research Studies could provide a central facility for monitoring the progress of examinations more closely.

(b) Student cases

The Committee noted that:

Doctor of Philosophy

- the award of the degree had been approved, subject to emendations, to 12 candidates;
- the degree had not been awarded to five candidates who had been permitted to revise and resubmit;
- one candidature had been referred back to the relevant faculty for further information; and
- examiners had been appointed for 76 candidates.

Doctor of Juridical Studies

- the degree had not been awarded to one candidate who had been permitted to revise and resubmit.

4.3 Report of the Coursework Sub-Committee

The Committee received reports of the Coursework Sub-Committee meetings of 14 December 1998 and 8 February 1999, noting that the Sub-Committee was addressing the following matters:

- (a) Annual faculty reports on postgraduate teaching and reviews of postgraduate coursework
- (b) Conjoint ventures in postgraduate programs
- (c) Reference from the Graduate Studies Committee: Length of candidature

4.4 Review of management structures and processes with respect to research higher degree programs

The Committee noted that the Pro-Vice-Chancellor (Research) had forwarded the report of the Review of management structures and processes with respect to research higher degree programs to the Vice-Chancellor with a letter setting out, *inter alia*, the comments made by the Graduate Studies Committee during its discussion of the Review Report at its November 1998 meeting.

4.5 Degree load pass rates

The Committee noted statistics on degree load pass rates, prepared by the Statistics Unit of the Planning Support Office, noting also the overall improvements in coursework master's and graduate diploma pass rates.

4.6 Higher doctorates

(a) Admission to candidature and appointment of examiners

The Committee noted that the former Chair and Chair had approved the admission to candidature of, and appointment of examiners for, candidates for the degrees of Doctor of Engineering and Doctor of Medicine, and confirmed their action.

(b) Appointment of fourth examiner and assessor

The Committee noted that the former Chair had approved the appointment of a fourth examiner and assessor for a candidate for the degree of Doctor of Medicine, and confirmed his action.

(c) Award of degree

The Committee noted that the Chair had approved the award of the degree of Doctor of Medicine to the following candidates, and confirmed the Chair's action:

Nicholas A Athanasou
Albert Hoi King Lam
Robert Wan Heng Pho

4.7 Appointment of a postdoctoral fellow as a PhD supervisor

The Committee noted that the former Chair had approved the appointment of a postdoctoral fellow as a PhD supervisor, and confirmed the former Chair's action.

4.8 Report on Minor changes to postgraduate courses

The Committee noted reports from the following faculties on minor changes to postgraduate courses:

Dentistry
Law

4.9 Work in progress

The Committee noted that work was in progress on:

- the drafting of guidelines for students on electronic submission and examination of theses; and
- the survey of the annual departmental review process for research students.

AGENDA ITEM 10. **Report of the Research Committee**

10.1 Report of the Research Committee held on 16 February 1999

The Committee met on 16 February 1999 when there were present: Professor D Cockayne, Deputy Chair Academic Board (Presiding Member); Professor D Siddle, Pro-Vice-Chancellor (Research); Professor D Melrose; Professor M Clunies Ross, Professor I Hume, Dr J Lingard, Mr D Trudinger. In Attendance were: Professor L Field, Dr C Baxter, Associate Professor A Reynolds, Ms S Reid, and Mr M Devine (Committee Secretary). The Committee received apologies from Professor R Pesman, Professor J Carter, Professor D Cook, Professor S Garton and Ms M Robb for non-attendance.

1. Receipt of Report

The Committee **recommends** that the Board receive and note the following report of its meeting held on 16 February 1999.

2. The University of Sydney's policy on the receipt of funding from the Tobacco Industry

Professor Cockayne advised the Committee that the Academic Board had referred back the recommended amendments to the University's Tobacco Industry funding policy. It was decided that a Sub-Committee comprising Professors Siddle, Cockayne, Cook and Ms Reid would refer to policies of the NHMRC, Cancer Council, National Heart Foundation and those of other Universities to develop suggestions for the Research Committee to consider at the April Research Committee meeting.

3. Proceedings of the Committee

(1) Matters arising from previous meetings, not covered in the agenda

Professor Cockayne advised the Committee that the Vice Chancellor had written to the Minister of Education, Training and Youth Affairs, Dr Kemp, with his comments on the proposed Green Paper on Research Funding. At the Vice Chancellor's request, his letter replaced the letter which the Research Committee had proposed itself to send to the Minister. Some members expressed concern that the Vice-Chancellor in his letter did not fully support the views put forward by the Research Committee.

Professor Cockayne distributed to members a copy of The University of Sydney "Moving Ahead: New Horizons Strategic Plan 1999-2004". The Committee noted that in response to comments made by Dr Baxter to Professor Eltis, the Internal Context section of the plan now included a paragraph dedicated to links with industry and co-operative activities.

(2) Code of Conduct for Responsible Research Practice and Guidelines for Dealing with Allegations of Research Misconduct

Ms Reid advised the Committee of responses to the Code of Conduct document received from Professor G Sherington, Associate Professor R Bartels and Mr D Trudinger. The Committee discussed ways in which staff could be made more aware of the existence of University policies, such as through the new staff induction process or presentations by the Research and Scholarships Office. The Committee agreed that the definition of researcher in the document should be amended to "All staff members and students carrying out research under the imprimatur of the University".

Mr Trudinger suggested in his correspondence that a new section should be added to the document detailing the role of the department. The Committee agreed with this suggestion and a new section 1.6 will be included called 'Role of the Department'.

Professor Cockayne raised the issue of the reproduction of diagrams and line drawings in students theses. Professor Cockayne agreed to draft a summary of this issue with assistance from Dr Baxter who will look at the Intellectual Policy considerations. The Committee discussed the implications of this issue in terms of plagiarism and also use of copyright material in works which would themselves be copyright. The issue will be raised with the Academic Board.

(3) Research Centres within the University

Professor Siddle recommended to the Committee that while there was already a policy on the establishment and review of its Centres, there needed to be a more consistent taxonomy of Centres within the University. A sub-committee was formed to undertake the task of developing such a taxonomy, comprising: Professor Cockayne, Professor Siddle and Professor Garton with support from the Research and Scholarships Office. The sub-committee will concentrate on Research, Research/Teaching Centres but will also include teaching only centres. The sub-committee will provide their recommendations to the Research Committee at a future meeting.

(4) Fair Acknowledgment of contributions to publications

Professor Cockayne will look into the existence of the document referred to in the policy that provides details of Acknowledgment Guidelines. He will report his findings at a future meeting.

(5) Reports

Report by Pro-Vice-Chancellor (Research)

Major Equipment – Professor Siddle advised the Committee that over 3 million dollars was awarded for the purchase of major equipment items in 1999. The Major Equipment Committee members were pleased that, due to the funding available they could allocate funding to a large number of applicants. Professor Cockayne commended the efforts of Professor Siddle for making such a high level of funding available to this scheme, despite pressures on the PVC(R) budget.

ARC and SPIRT Grant Schemes – Professor Siddle advised the Committee that the University had been visited by: Professor Peter Robinson, Chair of the ARC Strategic Partnership with Industry and Training Committee who made a presentation to researchers on the Scheme and Professor Ross Milbourn, Chair of the Research Grants Committee who talked to researchers about the Large Research Grant Scheme.

ARC Special Research Centres – Professor Siddle informed the Committee that each university was limited to submitting a total of five Special Research Centre applications. Expressions of interest had been called for in early February. An internal committee had reviewed the expressions of interest and eight applicants had been requested to submit full proposals of which the five will be chosen to put forward.

ARC Small Grant Scheme – For 1999 17.5% of the total available for ARC Small Grants was used to fund applications that had just missed out on funding from the Large Research Grant scheme. Professor Siddle is proposing to meet with the Small Grant Chairs to discuss procedures for next year.

University Research Grants (URGs) – Professor Siddle reported that he had received positive feedback about the outcomes of this year's results. The changes made to the program guidelines for this year had worked well. Professor Siddle will provide a report on the outcomes at the next meeting.

Cooperative Research Centre Bids - The University of Sydney was involved in 14 bids, both new and continuing. Professor Siddle advised the Committee that 10 were remaining after peer review.

Institute for Marine Science – The Vice-Chancellor had approved the formation of the Institute for Marine Science. The Director's position is to be advertised. The Institute will be located in the Edgeworth David Building, which is to be refurbished to accommodate the new director.

Use of Category J for internal funding distribution – Professor Siddle advised that, in discussions with Professor Eltis, it had been agreed that the internal distribution of funds in the year 2000 which are driven by research performance will take output recorded as creative works (the old DETYA "J" categories) into account, providing that there is a clear connection between the creative works and the author's disciplinary work at the University.

High Performance Computing - Professor Siddle advised the Committee that the Premier would be making an announcement on High Performance Computing funding when he visits the Australian Technology Park on 18 February 1999.

Professor Siddle complemented Ms Reid and Dr Baxter on the work and achievements of the Research and Scholarships and Business Liaison Offices.

Report of the Director, Business Liaison Office

Dr Baxter informed the Committee that applications were due shortly for the Strategic Partnership with Industry and Research Training (SPIRT) scheme. One change to the scheme for this year's round is that Industry Partner agreement letters on intellectual property were to be included at the time of application.

An Intellectual Property and Licensing Section had been established within the Business Liaison Office with Kevin Croft as the Manager.

Dr Baxter advised the Committee that a consultancy had been engaged to look into increasing Research and Development activities (particularly) in the biomedical area.

Report by Director, Research and Scholarships

Ms Reid reported that the ARC and NHMRC application round was in full swing with ARC Large Grants and Fellowships due in Canberra on 1 March and NHMRC grants due 5 March. The Research and Scholarships Office had received more applications than at the same stage last year. The NHMRC application process was improved on last year and the information sessions run by the Research and Scholarships office had been well attended.

Ms Reid advised the Committee that the Office had been working with hospitals to encourage staff with formal affiliation to the University to submit research applications through the Research and Scholarships Office at the University. Good progress had been made with some Area Health Services, but further discussions were necessary.

Ms Reid advised the Committee that the DETYA Publications and Financial Data Collection had commenced. This year, as a trial, the Research and Scholarships Office will conduct a paper-based collection of verification material, and will verify and enter materials on behalf of Departments. Non DETYA categories will still be entered by Departments, including category J publications.

Ms Reid advised the Committee that the new Secretary to the Human Ethics Committee, Ms Kokila De Silva had been appointed.

AGENDA ITEM 11. Report of the Library Committee

11.1 Report of the Library Committee meeting of 22 February 1999

The Committee met on 22 February 1999.

1.02/99 Minutes of the Previous Meeting

Minutes of the meeting held 23 November 1998 were adopted.

1.03/99 Business Arising from the Minutes

None

1.04/99 Chair's Report

Strategic Development Fund Allocation

Details of the projects approved by the Pro-Vice-Chancellors (Academic College) were tabled. Projects to be undertaken using the \$600,000 allocated involve:

maintaining serial subscriptions (1998)	63,000
purchase of research monographs	30,000
network access to hospital journal catalogues	30,000
improvements Badham Library	35,000
Backfile <i>Biosis</i>	25,000
user licences – full-text databases	15,000
serial use survey	130,000
document delivery project	120,000
interlibrary loan software	150,000

Implementation of the projects has commenced.

1.05/99 University Librarian's Report

Research Equipment and Infrastructure Fund Grants

The Library was unsuccessful in attracting funding for a project with the University of Western Australia to develop an Australian Digital Library. The project would have built on existing work undertaken by SETIS (Scholarly Electronic Text Information Service) which was funded through the Information Technology Committee, Faculty of Arts and the Library. Action has been initiated to bring together the various universities interested in creating databases of Australian material.

The University was successful in gaining support for a project to be led by Professor Angus Martin which will improve access to French-based resources in the Humanities and Social Sciences. Partners in the project include University of Queensland, National Library, State Library of NSW and the University of Adelaide.

Scholarly Communication

The AVCC has received a grant for a project to develop a methodology for maintaining a broadly-based coverage of research journals in Australian libraries. The project will be implemented by the Council of Australian University Librarians.

A workshop on Australia's Information Future – Innovation and Knowledge Management for the 21st Century will be held in Canberra on 3 and 4 March. The workshop is aimed at identifying the key problems affecting continuing access to research literature by Australian scholars. The University Librarian and Professor Angus Martin will be speaking at the workshop.

Pharmacy Library

The long-term future of the Pharmacy Library will be reviewed during 1999 as a joint activity of the Department of Pharmacy and the Library.

Orange Agricultural College and Sydney College of the Arts

The catalogues of both libraries are now available through the University Library catalogue – Innopac. This represents the finalisation of another of the recommendations made by the committee which reviewed the Library in 1993.

1.06/99 Library Funding

The Library's 1998-1999 Income and Expenditure Statement was tabled. The estimated recurrent income for 1999 will be \$24.6 million with recurrent expenditure estimated at \$26.5 million. This will necessitate further reduction in reserves if substantial savings cannot be achieved. Restructuring is expected to reduce salary commitments and savings are being sought in operating and equipment costs.

The budget for information resources has been maintained at the same amount (\$9.5 million) as 1998. Further serial subscription cancellations will be necessary to keep within budget. Indications from Library suppliers suggest that serial prices will rise by an average of 11% although there will be some differences between disciplines.

Faculties will be advised of their serial and research monograph allocations by mid-March. For the first time, faculties will be able to transfer a proportion of their monograph allocation to serials. The value of the required serial subscription cancellations will vary between faculties and will reflect the differing price increases affecting the relevant disciplines.

1.07/99 Reciprocal Borrowing Scheme

At its previous meeting, the Library Committee endorsed participation in a reciprocal borrowing scheme involving all NSW universities. The scheme included the levying of a usage fee to be paid by individual students. The payment of this fee by postgraduate students was debated by Academic Board and referred to the Library Committee and the Graduate Studies Committee for further consideration.

Discussion by the Library Committee included the discretionary nature of postgraduate student use of the scheme, the importance of postgraduate programs and the implications of exempting one category of students from the fee.

It was recommended LC1/99 that:

Academic Board endorse the appropriateness of the reciprocal borrowing usage fee being charged against the Postgraduate Student Maintenance Allowance received by research postgraduate students.

1.08/99 Library Restructuring Program

The consultants report on technical services processes has been received and the consideration of the recommendations has commenced. Implementation of the recommendations will be subject to appropriate consultation within the University and will involve a Restructure Committee on which there will be a Library Committee member.

1.09/99 Flexible Learning

A draft paper was discussed which outlined Library issues relating to flexible learning and the delivery of courses. Several areas were identified in which the paper required amendment before it is forwarded to the Academic Board Working Party on Flexible Learning. Further iterations of the paper will be brought to the Library Committee as the role, responsibilities and obligations of the Library in the flexible delivery of learning evolves.

1.10/99 Use of Email for Library Notices

With the provision of email facilities to all students, the Library is investigating the feasibility of using USYDnet exclusively for the notification of fines, overdue and other messages to staff and students. The facility is already used by a large number of staff and postgraduate students and works well. Greater use of email would assist the Library to provide more expeditious services, contain some operating costs associated with the loans service and would be compatible with the University's intranet development.

It was recognised that the development of a Library strategy and policy would need to take account of the activities of the Access Working Party of the Information Technology Committee.

1.11/99 Notification of Acquisitions

A foreshadowed motion from Dr C Campbell was considered:

That the University Librarian be requested to revise the ordering process for monographs and other relevant materials so that individuals who make orders are notified when they are available for use.

While recognising the benefits of such a service, the Library is unable to provide it without transferring staff resources from other activities. A modified service has been devised which will use the Innopac system to create lists of recently acquired materials. These lists will be available from the Library web page.

Work has begun on the project and should be available within 4 to 6 weeks.

1.12/99 Other Business

There were no other items of other business.

The meeting closed at 3.40 pm.

AGENDA ITEM 12.

Report of the Academic Staffing Committee

12.1 Report of the Academic Staffing Committee meeting of 17 February 1999

The Committee met on 17 February 1999. There were present: Associate Professor R Atherton (Chair), Professor S Armitage, Professor L Field, Professor W Schworm, Associate Professor D Davey, Dr P Whiting, Ms S Jamieson. Apologies: Professor L Burgess, Professor LM Koder, Associate Professor R Arnold. In attendance: Ms J Deitch, Ms H Beamish.

- 1. Policy Document: Promotion of Academic Staff to Levels B,C, D and E (Lecturer, Senior Lecturer, Associate Professor, Reader, Professor) and Academic Research-only Staff to Levels B, C, D and E - Promotion Committee Procedures and Guidelines**
The Committee finalised the document. *(Pages 25-31)*
- 2. Policy Document: Promotion of Academic Research-Only Staff to Levels B,C and D**
The Committee finalised the document containing applicant information and criteria for promotion. *(Pages 32-45)*
- 3. Policy Document: Promotion of Academic Research-Only Staff to Level E**
The Committee finalised the document containing applicant information and criteria for promotion. *(Pages 46-55)*
- 4. Policy Document: Promotion of Teaching-only Staff Levels B and C**
The Committee is seeking the assistance of the Teaching and Learning Committee in the development of this document.



THE UNIVERSITY OF SYDNEY
PROMOTION OF ACADEMIC STAFF TO LEVELS B, C, D AND E (LECTURER, SENIOR LECTURER, ASSOCIATE PROFESSOR, READER, PROFESSOR) AND ACADEMIC RESEARCH-ONLY STAFF TO LEVELS B, C, D AND E
PROMOTION COMMITTEE PROCEDURES AND GUIDELINES.

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. Abbreviations are used throughout this document as follows: Faculty Promotion Committee (FPC), Central Promotion Committee (CPC)

All involved in the promotions process should maintain an awareness of due process and equity. Failure to do so may result in appeals action.

<p>EEO requirements</p> <p>Privacy and confidentiality</p>	<p>The University is committed to equal opportunity for all staff. This commitment includes ensuring the absence of discrimination in any employment practices (including promotion) on the grounds of sex, pregnancy, race (including colour, ethnic background or national identity), marital status, disability, sexual preference, transgender, political or religious belief and age. Discrimination on these grounds is in breach of University policy and in many of these areas is unlawful under Commonwealth and State legislation.</p> <p>Accordingly, members of promotion committees must ensure that they apply only the relevant promotion criteria and that they do not discriminate against any applicant on any of the grounds mentioned above.</p> <p>The names of applicants, information contained in applications referee's/assessors' reports, and the content of interviews and discussions within promotion committees shall be confidential.</p>
<p>Responsibility of the Head (for Levels B to D only)</p>	<p>RESPONSIBILITIES OF HEADS, AND PERSONNEL SERVICES TEAMS</p> <p>The Head must complete a report on the applicant. This report should accurately represent the views of all relevant staff in the Department, including any divergent views. The report must be countersigned by the applicant who has the right to provide a written response. The Head will not make a written reply to the applicant's response.</p> <p>It is the responsibility of the Head to include comments in his/her report on the standing of referees, and of the journals in which the applicant has published.</p> <p>The Head must complete the appropriate section of, and sign the Teaching Activities Form</p>

**Responsibility
of the
Personnel
Services Teams**

- The Personnel Services Teams (College) will assume responsibility for
- receiving and acknowledging applications
 - checking the eligibility for promotion of applicants; that they have an appointment extending for at least one semester beyond the effective date of promotion and have not applied in the previous year and advising the Chair of the FPC of any ineligible applicants.
 - calling and receiving referees' / assessors' reports (as appropriate)

 - notifying applicants of the CPC membership
 - notifying applicants of the outcome of their application
 - retaining a list of applicants for each year

The Corporate Personnel Services will assume responsibility for the servicing and reporting of the CPC.

FACULTY PROMOTION COMMITTEES (FPC)

The role of the FPC is to act as an assessor of rather than as an advocate for Faculty applications.

**Constitution
of the FPC**

The Dean, after consultation with the Head, forwards the recommendation for the FPC constitution to the Pro-Vice-Chancellor (College) for approval on behalf of the Academic Board.

It is desirable that Faculties have separate committees for the consideration of applications for promotion to each academic Level.

Although Faculties may set up committees of different sizes and composition, it is considered that the FPCs should have the following constitution. At least one reserve should be nominated for both core and additional members.

Levels B, C and D

- Core - a maximum of six and a minimum of four members comprising
 - Dean (Chair) or nominee (with agreement of the Pro-Vice-Chancellor (College))
 - two members from the Faculty
 - one member from another Faculty
 - up to two other members

Note: FPCs for small Faculties should have at least two members from outside of the Faculty.

- Additional members
 - the Head
 - at least one member who will normally have expertise in the applicant's general field
 - one other member if there is a core of six members.

Level E

- Core
 - Dean (Chair) or nominee (with agreement of the Pro-Vice-Chancellor (College))
 - at least four and no more than six Professors of the Faculty or of a cognate Faculty.
- Additional members
 - two persons expert in the applicant's general field, at least one of whom must be external to the University
 - Head of the applicant's Department, or nominee.

In the case where the Head is also an applicant for promotion, the Dean will nominate another member of the Department or Faculty to act in the role of Head.

Centres that are outside the normal Faculty structure will be assessed by the most relevant Faculty as determined by the Deputy Vice-Chancellor.

Note

Since the recommendation for the constitution of committees is no longer sent to the Academic Board, the committee membership will be available for viewing in the relevant College Office by all Academic Board members.

**Conditions of
the FPC
membership**

- FPC members must normally have academic rank not lower than that of the grade to which promotion is sought.
- The additional members may include people from outside the University.
- FPC members must not be referees for any applicant to be considered by the committee, unless there are particular circumstances to commend to the Deputy Vice-Chancellor.
- Members of the FPC should not be members of the CPC considering applications at the same level.
- The FPC 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 member of the FPC must be declared as soon as possible to the Chair of the FPC.

**Responsibility
of the Chair of
the FPC
(including those
of the Faculty
Officer)**

- The FPC Chair will assume responsibility for
- liaising with the Personnel Services Team regarding the eligibility of applicants for promotion
 - checking that FPC members are not referees (or assessors', for Level E) of applicants considered by that FPC
 - recording the publications provided by the applicant
 - reporting recommendations for FPC membership, including reserves (and any subsequent changes) to the Pro-Vice-Chancellor (College) for approval
 - advising applicants of the initial membership and any changes of their FPC
 - referring any objections from the applicants regarding a significant departure from the promotion procedures to the Chair of the relevant CPC or Deputy Vice-Chancellor (for Level B)
 - distributing all papers to FPC
 - arranging all FPC meetings and advice to all those attending
 - notifying applicants of the time of interview at least one week prior to the interview
 - asking all members of the committee, at the beginning of the FPC meeting, to declare a personal interest in any application
 - ensuring all papers are unmarked, in the original state and in the appropriate order, collecting them and forwarding them to the Personnel Services Corporate Group for forwarding to the CPC.
 - preparing the FPC report
 - preparing a draft
 - sending the draft report to all committee members (including the additional members) for comments
 - finalising the report taking into account the comments received
 - forwarding the final report to core members for their signature
 - forwarding the FPC report via the Corporate Personnel Services for the Chair of the CPC (for Level B, directly to the Deputy Vice-Chancellor for endorsement).

	<p>In addition, for Levels C, D and E, the FPC Chair</p> <ul style="list-style-type: none">• is required to keep the whole day of the CPC meeting free and to be available to attend the CPC meeting (a specific time will be advised during the day) in order to answer any questions concerning applicants, the referees' reports (and assessors' report for Level E) and the FPC report• if requested, will provide feedback to unsuccessful applicants about all aspects of their application (after the recommendations have been approved).
<p>Responsibility of FPC members</p>	<p>For Level E the FPC will nominate two independent assessors in addition to the two referees nominated by the applicant and seek their evaluation of the applicant.</p> <p>FPC Members</p> <ul style="list-style-type: none">• must declare a personal interest in any application, as soon as possible to the Chair of the FPC.• must not write on or mark any application or additional papers• for Level D, may recommend that an application for Associate Professorship be transferred to one for a Readership (or vice versa) if that is deemed more appropriate, provided that the applicant agrees.
<p>Interviews by the FPC</p>	<p>Interviews will be scheduled for up to 30 minutes for Levels B, C and D (40 minutes for Level E).</p> <p>Although absolutely standardised questioning is not required, it is important to have a consistency of approach and of outcome, in terms of the completeness of information upon which the FPCs judgements are to be made. Questions of applicants should therefore be directed to exploring elements of the application that other sources of information (eg: the written application, the various reports) have not addressed, that require clarification or that have given rise to concerns about the application.</p>
<p>FPC request for additional information</p>	<p>In some special circumstances, the FPC may request additional information from applicants. Any such additional information will be attached to the FPC report.</p>
<p>Assessment of applications by the FPC</p>	<p>Applications are to be considered only on their merits in relation to the criteria for promotion. <i>(See Criteria for Progression for Academic Levels B, C, D and E)</i></p> <p>In the case of applicants who have made a prior unsuccessful application for promotion, the FPC should consider the application as a whole while paying particular attention to factors which the applicant considers strengthen the application for promotion.</p> <p>All FPC members will vote for or against promotion in each case. Applicants who receive more than two-thirds positive votes may be supported for promotion. The FPC core committee will rank all applicants who meet this requirement and identify those applicants whose promotion it recommends. Applicants may be equally ranked. The individual ranks given by each core member (to be identified only as member 1, member 2, etc) to each applicant should be reported to the CPC (or Deputy Vice-Chancellor for Level E), together with the consolidated ranking of the FPC, as separate tables attached to the report.</p>
<p>Format of the FPC Report</p>	<p>The amount of detail in the report should be sufficient for both the CPC (Deputy Vice-Chancellor for Level E) and applicants to understand why promotion was or was not recommended. Each unsuccessful applicant receives that section of the FPC report which relates to their application.</p>

**Forwarding the
FPC report**

The report must include

- a report on the FPC procedures followed
- a table listing support for and against promotion, the voting of the FPC for each applicant (number for and against)
- a table containing the full ranked list by the core committee (on a separate sheet), identifying those applicants recommended for promotion
- a commentary on each applicant (a separate page for each applicant) which addresses both the strengths and weaknesses of the application in relation to the criteria for promotion
- comments on the standing of referees (and assessors' for Level E)
- comments on the status of publications, and on the expectations regarding publications in the particular field of the applicant
- comments on the expectations regarding performance for the discipline in each of the categories for promotion
- a declaration, signed by the core committee members that the procedures of the FPC were in accordance with the procedures and guidelines for FPCs and with University policies on the conduct of meetings. Any variation from these procedures and policies in respect to any applicant should be reported to the Deputy Vice-Chancellor.

Prior to returning all applications, the FPC Report should be sent via the Corporate Personnel Services for the CPC Chair (to the Deputy Vice-Chancellor for Level E), who will examine the report immediately and bring any concerns to the attention of the FPC Chair.

CENTRAL PROMOTION COMMITTEE (CPC)

**Constitution
of the CPC**

The CPC is appointed by the Academic Board with the following constitution.

For Levels B, C and D

- Deputy Vice-Chancellor or nominee (Chair)
- Chair of the Academic Board
- one senior academic from another University - nominated by the Deputy Vice-Chancellor
- six members of the academic staff: comprising two from each College, one of whom shall be Pro Vice-Chancellor or nominee and the other will be appointed by the Chair of the Academic Board

For Level E

- Vice-Chancellor (Chair)
- Deputy Vice-Chancellor
- Pro-Vice-Chancellors (College)
- Chair of the Academic Board
- one senior academic from another University (nominated by the Vice-Chancellor)
- three professors (nominated by the Chair of the Academic Board).

**Conditions of
the CPC
membership**

- CPC members must normally have academic rank not lower than that of the grade to which promotion is sought
- CPC members must not be referees for any applicant to be considered by the committee.
- Members of the CPC must not have been members of a FPC considering applications at the same level and should not normally be on the committee for a period longer than three years.
- 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.

**Functioning of
the CPC**

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 FPC (Levels C, D and E).

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 judgements as the basis for discussion and decisions.

Recommendation for promotion requires a positive vote from at least n-2 members of the CPC.

Where the CPC cannot fully endorse the FPC recommendation, the FPC Chair is consulted by the CPC and remains present while the CPC deliberates and makes a decision on the recommendations. The FPC Chair is responsible for notifying any unsuccessful applicant and other core members of the FPC.

**Responsibility
of the Chair of
the CPC**

The Chair of the CPC or nominee will

- examine the reports of the FPC as soon as they are received from the FPC Chair and raise any concerns about irregularities in procedures with the Chair of the FPC
- if deemed necessary may ask for further reporting, the reconvening of the FPC and the submission of a new report.
- report on any concerns regarding FPC procedures to the membership of the CPC
- review the preliminary voting prior to the CPC meeting
- ask members of the committee to declare a personal interest in any application
- for Level E only forward the recommendations for promotion, accompanied by a brief statement on each recommended applicant, to the Senate Chair Appointments Committee for approval.

BACKGROUND/CONTEXT

Background	This document provides the procedures for promotion to academic staff levels B, C, D and E and academic research-only staff levels B, C, D and E.
Context	This policy has been developed as part of an overall approach to revising and consolidating academic staff support and progression policies and procedures and creating a comprehensive and integrated support and review process.
Authority/ consultation	This policy has been drafted by the Academic Staffing Committee (Professor R Pesman (Chair), Associate Professor R Atherton, Professor S Armitage, Associate Professor R Arnold, Professor L Burgess, Associate Professor D Davey, Professor L Field, Ms S Jamieson, Professor L M Koder, Professor W Schworm, Dr P Whiting), in collaboration with the Personnel Policy Unit (Ms J Deitch, Ms D Bruu) and taking into consideration comments made by Ms H Beamish, Ms C Clarke, Ms K Ion, Professor G Sherington
Ownership	Academic Board
Responsible Officers	<ul style="list-style-type: none"> • Deputy Vice-Chancellor • Chair of Academic Board
Date	<p>Approval</p> <p>By</p> <p style="text-align: center;">.....</p> <p style="text-align: center;">Vice-Chancellor</p> <p>Date</p> <p style="text-align: center;">.....</p> <p style="text-align: center;">Date of effect</p> <p>Proposed date of review 31.12.99</p>
References	<p>Policies, procedures etc which will be superseded by this document</p> <ul style="list-style-type: none"> • Academic Promotions 1998 - Associate Professor/Reader, Senior Lecturer, Lecturer • Academic Promotions 1998 – Professor • Level D appointments and promotions (AB 6.3.95) • Chairs – personal, procedures for promotion (AB 3.92, 21.11.94) • Procedures for reclassification as Research Fellow/Senior Research Fellow • Central Promotions committees (AB 16.8.95) <p>Relevant industrial awards/agreements</p> <ul style="list-style-type: none"> • Academic Award Restructuring Agreement Pursuant to the Structural Efficiency Principle of the August 1989 National Wage Case Decision - Final Phase (not certified) <ul style="list-style-type: none"> • Attachment B, Position Classification Standards (not certified) • Universities and Post Compulsory Academic Conditions Award 1995 • Higher Education Contract of Employment Award 1998 (Date of effect 30 June 1998) • University of Sydney (Academic Staff) Enterprise Agreement 1997 <p>Other related policies/references</p> <ul style="list-style-type: none"> • Delegations of authority: Part 1 Administrative functions (Senate

	<p>7.12.1998)</p> <ul style="list-style-type: none">• Equal Employment Opportunity/Affirmative Action Management Plan• Equal Opportunity and Affirmative Action Policy Statement (7.2.94)• Policy document on academic promotions appeals (AB 19.6.97)• Policy document on the appointment of all categories of academic staff (AB 10.2.99)• Policy document on the promotion of academic staff to levels C and D• Statement of conditions of employment for academic staff (August 1994) (currently being reviewed)• Policy on disposal of confidential referees' reports on applicants for appointment and promotion (SM 3.2.95)
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THE UNIVERSITY OF SYDNEY

POLICY DOCUMENT

PROMOTION OF ACADEMIC RESEARCH-ONLY STAFF TO LEVELS B, C AND D

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.

Overview

This policy document defines the policies and procedures for the promotion of academic research-only staff to Levels B, C and D.

Governing Principles

- The University is committed to recognising and rewarding sustained excellence in its staff by providing opportunities for promotion
- The University recognises in its promotion policies and criteria for progression that it is a very diverse institution and that its well-being and reputation both nationally and internationally depends on a wide and varied range of contributions
- The University is committed to the principles of equity, equal opportunity, privacy and confidentiality.

Policy

Applications for promotion are called for annually. The effective date of the promotion is in all cases 1 January of the following year.

All academic research-only staff whose contract extends one semester beyond the effective date of promotion are eligible to apply for promotion

However, if grant funded, eligibility is dependent on the grant conditions governing the funding of their employment. Academic research-only staff members may only apply under University procedures where

- 1. the grant does not specify a classification or salary level and**
- 2. there is no general prohibition of personal promotion and no outside procedures exist which override the University's normal promotion procedures (such as those of the National Health and Medical Research Council).**

Unsuccessful applicants may not reapply in the year following their unsuccessful application unless there are exceptional circumstances and approval is given by the Deputy Vice-Chancellor.

To be promoted, a member of staff must demonstrate sustained achievement at the current level of appointment and the capacity to perform at the level to which they are seeking promotion. It is unlikely, other than in exceptional circumstances, that a member of staff will be able to show evidence of sustained performance at the current level in less than two years.

The basis for the assessment of performance is the Position Classification Standards for Research-Only Positions and the University's Criteria for Progression.

Assessment of applications for promotion of academic research-only staff is made by a committee of peers through a process designed to enable fair and consistent application of standards. For Levels C and D the two committees are the Faculty Promotion Committee (FPC) and the Central Promotion Committee (CPC) (only the FPC for Level B).

Applicants for promotion should not participate in the promotion process as committee members or referees at the level of promotion for which they are an applicant.

Coverage

This policy covers the promotion of academic research-only staff to Academic Levels B, C and D (including Research Fellow, Senior Research Fellow, Principal Research Fellow) (Refer to Position Classification Standards for Research-Only Positions)

Fractional appointees are expected to carry out the same duties as a full time member of staff at the same level, on a pro rata basis. Applications for promotion from fractional appointees will be assessed against the same criteria in terms of opportunities available.



THE UNIVERSITY OF SYDNEY
PROMOTION OF ACADEMIC RESEARCH ONLY STAFF TO LEVELS B, C AND D
APPLICANT INFORMATION

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

STEPS

BRIEF OUTLINE OF THE STEPS IN THE PROCESS

Seeking advice

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. Applicants from departments that are outside normal faculty structures should consult the Deputy Vice-Chancellor, who will decide which faculty will assess their application.

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" 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. Members of a promotion committee should not be referees for any applicant who is to be considered by that committee, unless there are particular circumstances to commend to the Deputy Vice-Chancellor to waive this requirement.

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 not normally 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. 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 will not make a written reply to the applicant's response.
(See 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

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.

There is one CPC for each Level (C and D) of promotion. Membership of the CPCs is drawn from across the academic community.

Each applicant will be advised in writing of the membership of the individual FPC and of the CPC membership for Levels C and D that will be considering his/her application.

Applicants may address objections concerning a member or members of the FPC or, as appropriate, the CPC, to the Deputy Vice-Chancellor, within seven days of the date of receipt of the advice.

Consideration of the application

The application is considered by the FPC which also conducts the interview.

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

- 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.

If the applicant does not follow one of the above options, the application will be considered without interview.

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.

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.

For Level B

- FPC makes a recommendation to the Vice-Chancellor for approval

For Levels C and D

- Applications and FPC recommendations are then considered by the CPC, which has the primary task of ensuring that standards are equitable across the University.
- the CPC makes a recommendation to the Academic Board for endorsement and to the Vice-Chancellor for approval.

Notification of outcome

All applicants will be advised in writing of the outcome of their application as soon as possible after the Vice-Chancellor's approval.

**Conditions for
appeal**

An appeal against an unsuccessful application for promotion may only be made on the grounds of a significant breach of procedure where it can be demonstrated that such a breach may have affected the outcome of the application. 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)

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 academic research-only 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, according to their appointment.

Evaluation

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

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

Evaluation of academic performance at the University of Sydney for members of staff in academic research-only positions is based on research performance but any other contribution to the academic life of the University will be taken into account in assessing the case for promotion.

The University has four standards of evaluation relating to promotion

- outstanding
- superior
- satisfactory
- unsatisfactory.

These standards are understood as follows

- 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, academic research-only staff must be performing at the level of outstanding in research and the applicant must have demonstrated international research or creative leadership, and his/her teaching must be of at least superior standard.

(See Criteria for Progression for academic research-only Levels A, B, C and D)

At Level D the model for academic research-only staff is that of "Reader". It is expected that the research output of academic research-only staff would be greater than that of staff whose normal duties include teaching.

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.

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 the CPCs (for Levels C and D).

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 grounds for application**
- 3. Statement on and list of research/scholarship/creative work**
- 4. Brief statement on and list of service and leadership in the University**
- 5. Teaching portfolio (where applicable)**
- 6. Brief statement on and list of contributions to the profession and the community and the development of Australian society.**

No other material should be attached to the application.

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

(See *Promotion of Academic Research-Only Staff to Levels B, C and D - Academic Promotions Information Sheet*)

2. Statement summarising grounds for application

A succinct statement of no more than 1000 words summarising the applicant's grounds 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 research/scholarship/creative work, service and leadership to the University, teaching (where applicable), service and leadership in the 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.
Statement and
list of research /
creative work**

The application should include

- a **succinct statement of no more than 1500 words** outlining the applicant's contribution to research/ creative work and the impact of that contribution
- a listing of their research/ creative work activity.

Research/ 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/ creative work activity should be listed under the headings below. It is recognised that the nature of research/ 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 research-only Levels A, B, C and D)

Academic awards and distinctions

A list of awards, medals, prizes, memberships of academies and other research/ creative work distinctions.

- **A list of publications relevant to the reporting of research/ creative work**
Only works that have been published should be listed here.
Publication includes research/ 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).
- **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/ 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**

**4.
Brief statement
and list of
service and
leadership in
the University
(if relevant)**

- **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 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 research-only Levels A, B, C and D)

**5.
Teaching
portfolio
(if relevant)**

The teaching portfolio, if appropriate to the application, should include

- **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, such as awards, prizes, invited teaching presentations.
- **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.

- **The teaching activities form**

(See Criteria for Progression for academic research-only Levels A, B, C, D)

**6.
Brief statement
and list of
contribution to
the profession
and the
community
(if relevant)**

- **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 research-only 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 in teaching and research/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.



THE UNIVERSITY OF SYDNEY
CRITERIA FOR PROGRESSION FOR ACADEMIC LEVELS A, B, C AND D

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**General
Criteria**

It is always difficult to formulate precise criteria for appointment/promotion to specific levels. The criteria listed in this document should be read as indicative not prescriptive.

The following guidelines on the University of Sydney's expectations at each level of appointment should be read in conjunction with the Position Classification Standards.

CRITERIA BY LEVEL

~ LEVELS A AND B ~

**Levels A and
B**

RESEARCH

Academic research-only staff at Level A will have demonstrated

- research ability in conducting research with limited supervision or as a member of a research team
- that they have had the results of an activity accepted in the form of publication including conference papers, seminars and journal publications
- that they have contributed to the preparation of research proposal submissions.

Academic research-only staff at Level B will have demonstrated that they have met or exceeded the criteria for Level A and, in addition, have

- an independent role in research or creative activity
- had the results of their research or creative activity accepted in the form of refereed publications
- prepared (or contributed to the preparation of) research proposal submissions.

SERVICE AND LEADERSHIP IN THE UNIVERSITY

Academic research-only staff at Levels A and B will have demonstrated that they have

- made some contribution to administrative functions primarily connected with the principal areas of research
- attended Faculty, College or University meetings associated with research.

TEACHING

Teaching Experience

Academic research-only staff at Levels A and B will have demonstrated that, when given the opportunity, they have

- occasional contributions to teaching, primarily related to area of research

Academic research-only staff at Level B will have demonstrated that they have met or exceeded the criteria for Level A and, in addition, have

- co-supervised or (where appropriate) supervised major honours or postgraduate research projects within the field of the staff member's research

Good Practice in Teaching

Academic research-only staff at Levels A and B will have demonstrated that in their teaching they have

- encouraged honours and postgraduate students to learn effectively and to develop a number of the generic skills expected of graduates of the University of Sydney including critical reasoning
- participated in the professional development of their own supervising and training skills
- sought evaluation of their teaching from staff and students and responded appropriately and effectively to the information
- numbers of undergraduates attracted into optional units of study, including honours, and postgraduate work.

CONTRIBUTION TO THE PROFESSION AND THE COMMUNITY

Academic research-only staff at Levels A and B will have demonstrated

- participation in professional / community activity
- contribution to organisation of conferences and seminars in the discipline.

Level C

~ LEVEL C ~

RESEARCH

Academic research-only staff at Level C will have demonstrated that they have met or exceeded the criteria for Level B and, in addition, have

- developed a sustained program in original research or creative work
- had the results of their research or creative work accepted in the form of refereed publications in journals highly respected within the discipline
- supervised and/or co-supervised honours and postgraduate research students, where the opportunity has been available
- contributed to the national or international activity in their research or creative discipline
- played a significant role in major research programs including, where appropriate, leadership of research teams
- been invited to participate in or chair discipline reviews or research reviews
- been members of national research bodies such as ARC or NHMRC.

SERVICE AND LEADERSHIP IN THE UNIVERSITY

Academic research-only staff at Level C will have demonstrated that they have acted as

- chairs of departmental committees particularly in areas of relevant to their research area
- members of faculty and University committees particularly in areas relevant to their research area
- members of organised committees for conferences, public seminars and meetings
- representatives of the University in the community and beyond.

TEACHING

Academic research-only staff at Level C may have had the opportunity to be involved in teaching particularly at the honours and postgraduate level.

Academic research-only staff at Level C will have demonstrated that they have met or exceeded the criteria for Level B and in addition

- contributed to attracting students for successful undergraduate, honours and/or postgraduate study in the department/school.

CONTRIBUTION TO THE PROFESSION AND THE COMMUNITY

Academic research-only staff at Level C will have demonstrated

- leadership and community recognition
- major roles in organisation of conferences and seminars in the discipline.

~ LEVEL D ~

Level D

Level D is not a level to which most Level C academic research-only staff, by satisfactory performance of their normal duties may expect to attain before retirement. Applicants seeking promotion to Level D should be able to demonstrate a level of performance which would warrant them being seriously considered for appointment to a chair in their particular field of expertise. Academic research-only staff at Level D are expected to make original contributions to research in the area where they are appointed and to play a significant role within their profession or discipline.

RESEARCH

Research-only staff at Level D will have demonstrated that they have met or exceeded the criteria for Level C and, in addition, have

- demonstrated an outstanding record of postgraduate supervision
- demonstrated national/international leadership in research or creative work
- prepared research proposals and submissions to external bodies
- responsibility for overseeing financial management of research grants
- been invited to participate in or chair discipline reviews or research reviews
- been members of national research bodies such as ARC or NHMRC

SERVICE AND LEADERSHIP IN THE UNIVERSITY

Academic research-only staff at Level D will demonstrate leadership

- in departments as chairs of departmental committees
- in the faculty and University by chairing and contributing to faculty committees
- in the University as chairs and members of University committees
- in the University in the promotion and organisation of new initiatives in research
- in the relations of the University and other universities and outside organisations (eg: as members or representatives of the University on inter-university committees or committees at other universities, ARC committees, government committees related to tertiary education or the discipline).

TEACHING

Academic research-only staff at Level D will have demonstrated that, when given the opportunity, they have met or exceeded the criteria for Level C and, in addition, have

- provided support and act as a mentor in teaching to newer members of staff
- demonstrated a successful record of postgraduate and/or research supervision
- occasional contributions to the teaching program within the field of the staff members research

CONTRIBUTION TO THE PROFESSION AND THE COMMUNITY

Academic research-only staff at Level D will have demonstrated

- leadership and national or international recognition.

BACKGROUND/CONTEXT

Background	The focus of this policy is to provide an indication of the criteria required for promotion to academic research-only levels B, C, and D.
Context	This policy has been developed as part of an overall approach to revising and consolidating academic staff support and progression policies and procedures and creating a comprehensive and integrated support and review process.
Authority/consultation	This policy has been drafted by the Academic Staffing Committee (Professor R Pesman (Chair), Associate Professor R Atherton, Professor S Armitage, Associate Professor R Arnold, Professor L Burgess, Associate Professor D Davey, Professor L Field, Ms S Jamieson, Professor L M Koder, Professor W Schworm, Dr P Whiting), in collaboration with the Personnel Policy Unit (Ms J Deitch, Ms D Bruu,) and taking into consideration comments made by Ms H Beamish, Ms C Clarke, Ms T McAloon, Professor G Sherington.
Ownership	Academic Board
Responsible Officers	<ul style="list-style-type: none"> • Deputy Vice-Chancellor • Chair of Academic Board
Dates	<p>Approval</p> <hr/> <p>By</p> <p style="text-align: right;">..... Vice-Chancellor</p> <p>Date</p> <p>Date of effect</p> <p>Proposed date of review 31.12.1999</p>
References	<p>Documents which are attachments to and/or should be read in conjunction with this policy</p> <ul style="list-style-type: none"> • Promotion of Academic Research-Only Staff to Levels B, C & D - Applicant Information, • Promotion of Academic Research-Only to Levels B, C & D - Promotion Committee Procedures and Guidelines
	<p>Policies, procedures etc which will be superseded by this document and its attachments</p> <ul style="list-style-type: none"> • Applications for Reclassification as a Research Fellow/Senior Research Fellow (or an advancement to a Higher research classification) (AB 15.3.93) • Research Fellow to Senior Research Fellow Promotion (AB 20.7.87) <p>Relevant industrial awards/agreements</p> <ul style="list-style-type: none"> • Academic Award Restructuring Agreement Pursuant to the Structural Efficiency Principle of the August 1989 National Wage Case Decision - Final Phase (not certified) <ul style="list-style-type: none"> • Attachment B, Position Classification Standards (not certified) • Universities and Post Compulsory Academic Conditions Award 1995 • Higher Education Contract of Employment Award 1998 (Date of effect 30 June 1998) • University of Sydney (Academic Staff) Enterprise Agreement 1997

Other related policies/references

- Equal Employment Opportunity/Affirmative Action Management Plan
 - Equal Opportunity and Affirmative Action Policy Statement (7.2.94)
 - Delegations of authority (Senate 7.12.98)
 - Policy document on academic promotions appeals (AB 19.6.97)
 - Policy document on the appointment of all categories of academic staff (AB 10.2.99)
 - Statement of conditions of employment for academic staff (August 1994) (currently being reviewed)
 - The Evaluation of Teaching - A discussion paper prepared for Academic Board by the Centre for Teaching and Learning (May 1992)
 - Policy on disposal of confidential referees' reports on applicants for appointment and promotion (SM 3.2.95)
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THE UNIVERSITY OF SYDNEY

POLICY DOCUMENT

PROMOTION OF ACADEMIC RESEARCH-ONLY STAFF TO LEVEL E

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Overview

This policy document defines the policies and procedures for the promotion of academic research-only staff to Level E.

Governing Principles

- The University is committed to recognising and rewarding sustained excellence in its staff by providing opportunities for promotion.
- The University recognises in its promotion policies and criteria for evaluation that it is a very diverse institution and that its well-being and reputation both nationally and internationally depends on a wide and varied range of contributions.
- The University is committed to the principles of equity, equal opportunity, privacy and confidentiality.

Policy	<p>The Senate Chair Appointments Committee may promote to the rank of professor to recognise sustained outstanding performance and leadership by a member of the academic</p> <p>The promotion to Level E recognises exceptional performance and is not one which research-only staff at Level D can expect to attain by satisfactory performance of their normal duties.</p> <p>Applications for promotion are called for annually. The effective date of the promotion is in all cases 1 January of the following year.</p> <p>All academic research-only staff whose contract extends one semester beyond the effective date of promotion are eligible to apply for promotion.</p> <p>However, if grant funded, eligibility is dependent on the grant conditions governing the funding of their employment. Academic research-only staff members may only apply under University procedures where</p> <ol style="list-style-type: none">1. the grant does not specify a classification or salary level and2. there is no general prohibition of personal promotion and no outside procedures exist which override the University's normal promotion procedures (such as those of the National Health and Medical Research Council). <p>Unsuccessful applicants may not reapply in the year following their unsuccessful application unless there are special circumstances and approval is given by the Deputy Vice-Chancellor.</p> <p>The basis for the assessment of performance is the Position Classification Standards for Academic Research-Only Positions and criteria for evaluation for Level E as outlined in the Applicant Information document.</p> <p>Assessment of applications for promotion of academic research-only is made by a committee of peers through a process designed to enable fair and consistent application of standards. The two committees assessing applications are the Faculty Promotion Committee (FPC) and the Central Promotion Committee (CPC).</p> <p>Applicants for promotion should not participate in the promotion process as committee members, assessors or referees at the level of promotion for which they are an applicant.</p>
Coverage	<p>This policy covers the promotion of research-only staff to academic research-Level E <i>(Refer to Position Classification Standards for Research-Only Positions)</i></p> <p><i>In the case of a fractional appointment, some consideration will be given for any reduction in opportunity.</i></p>



THE UNIVERSITY OF SYDNEY
PROMOTION OF ACADEMIC RESEARCH-ONLY STAFF TO LEVEL E
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 Research-Only Staff to Levels E.
Abbreviations are used throughout this document as follows: Faculty Promotion Committee (FPC), Central Promotion Committee (CPC)

STEPS

BRIEF OUTLINE OF THE STEPS IN THE PROCESS

Seeking advice

Staff wishing to apply for promotion should seek advice from their Professional Development Reviewer and Head or senior member of staff, before submitting any promotion application and particularly after an unsuccessful application. The Dean may also be consulted. Applicants from departments that are outside normal faculty structures should consult the Deputy Vice-Chancellor, who will decide which faculty will assess their application.

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" 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. All referees should be in a position to offer impartial advice. Referees should include people who have a high international reputation. Members of a promotion committee should not be referees for any applicant who is to be considered by that committee, unless there are particular circumstances to commend to the Deputy Vice-Chancellor to waive this requirement.

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 not normally 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. The standard letter is available for perusal from the Personnel Services Teams.

Submitting the application

Applicants are asked to submit thirteen 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.

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 thirteen copies of this information). Any such information will be attached to the FPC report.

**Constituting
the promotion
committees**

The FPC consists of a core group that considers all applicants for promotion to academic research-only Level E, supplemented by the additional members (including the Head or senior member of staff) who are appointed for each individual applicant.

Membership of the CPC is drawn from across the academic community.

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.

Applicants may address objections concerning a member or members of the FPC or the CPC to the Deputy Vice-Chancellor, within seven days of the date of receipt of the advice.

**Consideration
of the
application**

The application is first considered by the FPC which also conducts the interview.

All applicants will be required to attend an interview (in person or by telephone or video-conference). Each applicant will be notified by the faculty officer 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 40 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.

After consideration of the application and interviews, all FPC members vote for or against promotion for each case.

Applications and FPC recommendations are then considered by the CPC, which has the primary task of ensuring that standards are equitable across the University.

The CPC makes a recommendation to the Senate Chair Appointments Committee for approval.

**Notification
of outcome**

All applicants will be advised in writing of the outcome of their application as soon as possible after the approval of the Senate Chair Appointments Committee.

**Conditions for
appeal**

An appeal against an unsuccessful application for promotion may only be made on the grounds of a significant breach of procedure where it can be demonstrated that such a breach may have affected the outcome of the application. 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)

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.

The following guidelines on the University of Sydney's expectations at Level E should be read in conjunction with the Position Classification Standards.

Criteria for Evaluation

Applicants for promotion to Level E must demonstrate sustained outstanding and academic leadership. Academic leadership is understood as

- an international reputation for outstanding research/scholarship/creative works
- outstanding achievement in the extension and communication of knowledge and understanding to students, peers and others
- leadership in the University and/or discipline and/or profession.

1. Research/ Scholarship/ Creative Work

Leadership and sustained achievements as demonstrated by, for example,

- publications of books and monographs through publishing houses of high national/international reputation
- publications of results of original research and other scholarly endeavour in journals of high international repute
- significant impact of work on the field and scholarly community
- publication through exhibition of the results of art research in galleries and museums of high national/international repute
- critically acclaimed creative works/performances/exhibitions
- success in obtaining competitive funding
- success in obtaining other funding
- invitations to give keynote addresses and papers
- election to learned academies
- honorary degrees, awards and prizes.

2. Service to the University, discipline and profession

The case for outstanding leadership and excellence in service to the University, discipline and profession should demonstrate significant and recognised achievements.

3. Teaching (if relevant)

The case for outstanding leadership and excellence as a teacher should demonstrate, for example,

- a substantial contribution to education in the field through such activities as curriculum development and the development of new areas, methodologies and modes of delivery
- publications in the area of teaching
- awards for teaching
- invitations to teach or advise on curriculum development in other departments, faculties, universities or professional institutions
- mentoring and development of other junior researchers, particularly postgraduate students, through supervision and collaboration to a successful outcome.

Specific guidelines	<p>These guidelines are not intended as a strict specification for the structure of an application, which should be designed for the best presentation of the case for promotion. The applications should include the following information in the following order and <u>no other material should be attached to the application.</u></p>
1. Academic promotions information sheet	<p>Applicants should indicate achievements since their last appointment or promotion.</p> <p>(See <i>Promotion of academic research-only Staff to Level E - Academic Promotions Information Sheet</i>)</p>
2. Statement summarising grounds for application	<p>(A statement of no more than 2000 words which outlines the applicant's grounds for outstanding academic leadership)</p>
3. List of research / scholarship / creative work	<p>List of research / scholarship / creative work</p> <ul style="list-style-type: none">• 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 <u>Only works that have been published should be listed here.</u> 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<ul style="list-style-type: none">- 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).• 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).• Other funding

**4.
List of
leadership
positions held in
the University
discipline,
profession and
community**

- **Commissioned research or creative work**
A list of research/ 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 and should include evidence of critical response
- **Offers to take up Chairs at other Universities of high national/international reputation**
- **Invitations to serve as external members of high level selection committees**

List of leadership positions held in the University, discipline, profession and community

Leadership in the profession and the community should be expressed in terms of the following.

- positions of leadership in professional societies
- liaison with constituencies in ways which promote 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/or creative work.

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.

**5.
Teaching
portfolio
(if relevant)**

The teaching portfolio, if appropriate to the application, should include

- **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 and leadership in teaching and/or for outstanding teaching**, where relevant, such as awards, prizes, invited teaching presentations.
- **Evidence for mentoring and development of staff and/or students**, particularly postgraduate students, through supervision and collaboration to a successful outcome.
- **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.
- **The teaching activities form**



THE UNIVERSITY OF SYDNEY

EXTRACT FROM CRITERIA FOR PROGRESSION FOR ACADEMIC RESEARCH- ONLY LEVELS A, B, C AND D

For the definitions of terms used in this 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.

General Criteria

It is always difficult to formulate precise criteria for appointment/promotion to specific levels. The criteria listed in this document should be read as indicative not prescriptive.

The following guidelines on the University of Sydney's expectations at each level of appointment should be read in conjunction with the Position Classification Standards.

~ LEVEL D ~

Level D

Level D is not a level to which most Level C academic research-only staff, by satisfactory performance of their normal duties may expect to attain before retirement. Applicants seeking promotion to Level D should be able to demonstrate a level of performance which would warrant them being seriously considered for appointment to a chair in their particular field of expertise. Academic research-only staff at Level D are expected to make original contributions to research in the area where they are appointed and to play a significant role within their profession or discipline.

RESEARCH

Research-only staff at Level D will have demonstrated that they have met or exceeded the criteria for Level C and, in addition, have

- demonstrated an outstanding record of postgraduate supervision
- demonstrated national/international leadership in research or creative work
- prepared research proposals and submissions to external bodies
- responsibility for overseeing financial management of research grants
- been invited to participate in or chair discipline reviews or research reviews
- been members of national research bodies such as ARC or NHMRC

SERVICE AND LEADERSHIP IN THE UNIVERSITY

Academic research-only staff at Level D will demonstrate leadership

- in departments as chairs of departmental committees
- in the faculty and University by chairing and contributing to faculty committees
- in the University as chairs and members of University committees
- in the University in the promotion and organisation of new initiatives in research
- in the relations of the University and other universities and outside organisations (eg: as members or representatives of the University on inter-university committees or committees at other universities, ARC committees, government committees related to tertiary education or the discipline).

TEACHING

Academic research-only staff at Level D will have demonstrated that, when given the opportunity, they have met or exceeded the criteria for Level C and, in addition, have

- provided support and act as a mentor in teaching to newer members of staff
- demonstrated a successful record of postgraduate and/or research supervision
- occasional contributions to the teaching program within the field of the staff members research

CONTRIBUTION TO THE PROFESSION AND THE COMMUNITY

Academic research-only staff at Level D will have demonstrated

- leadership and national or international recognition.

BACKGROUND/CONTEXT

Background	The focus of this policy is to provide an indication of the criteria required for promotion to academic research-only level E.
Context	This policy has been developed as part of an overall approach to revising and consolidating academic staff support and progression policies and procedures and creating a comprehensive and integrated support and review process.
Authority/ consultation	This policy has been drafted by the Academic Staffing Committee (Professor R Pesman (Chair), Associate Professor R Atherton, Professor S Armitage, Associate Professor R Arnold, Professor L Burgess, Associate Professor D Davey, Professor L Field, Ms S Jamieson, Professor L M Koder, Professor W Schworm, Dr P Whiting), in collaboration with the Personnel Policy Unit (Ms J Deitch, Ms D Bruu,) and taking into consideration comments made by Ms H Beamish, Ms C Clarke, Ms T McAloon, Professor G Sherington.
Ownership	Academic Board
Responsible Officers	<ul style="list-style-type: none"> • Deputy Vice-Chancellor • Chair of Academic Board
Dates	<p>Approval</p> <hr/> <p>By</p> <p style="text-align: right;">..... Vice-Chancellor</p> <p>Date</p> <p>Date of effect</p> <p>Proposed date of review 31.12.1999</p>
References	<p>Documents which are attachments to and/or should be read in conjunction with this policy</p> <ul style="list-style-type: none"> • Promotion of Academic Research-Only Staff to Level E - Applicant Information, • Promotion of Academic Staff to Levels B, C, D and E and Academic Research-Only Staff to Levels B, C D & E - Promotion Committee Procedures and Guidelines
	<p>Policies, procedures etc which will be superseded by this document and its attachments</p> <ul style="list-style-type: none"> • Applications for Reclassification as a Research Fellow/Senior Research Fellow (or an advancement to a Higher research classification) (AB 15.3.93) • Research Fellow to Senior Research Fellow Promotion (AB 20.7.87) <p>Relevant industrial awards/agreements</p> <ul style="list-style-type: none"> • Academic Award Restructuring Agreement Pursuant to the Structural Efficiency Principle of the August 1989 National Wage Case Decision - Final Phase (not certified) <ul style="list-style-type: none"> • Attachment B, Position Classification Standards (not certified) • Universities and Post Compulsory Academic Conditions Award 1995 • Higher Education Contract of Employment Award 1998 (Date of effect 30 June 1998) • University of Sydney (Academic Staff) Enterprise Agreement 1997

Other related policies/references

- Equal Employment Opportunity/Affirmative Action Management Plan
 - Equal Opportunity and Affirmative Action Policy Statement (7.2.94)
 - Delegations of authority (Senate 7.12.98)
 - Policy document on academic promotions appeals (AB 19.6.97)
 - Policy document on the appointment of all categories of academic staff (AB 10.2.99)
 - Statement of conditions of employment for academic staff (August 1994) (currently being reviewed)
 - The Evaluation of Teaching - A discussion paper prepared for Academic Board by the Centre for Teaching and Learning (May 1992)
 - Policy on disposal of confidential referees' reports on applicants for appointment and promotion (SM 3.2.95)
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AGENDA ITEM 13. General Business

13.1 Cancellation of the April Board meeting

As there does not appear to be any urgent business for the April Board, it is recommended that the April Board meeting be cancelled in accordance with the provision in the 1999 schedule of Board meetings.

In the event that any urgent business may arise, which cannot await the May Board meeting, the Board is asked to authorise its Chair to act on its behalf in any such matter.

13.2 Membership of the Academic Board

13.2.1 Casual vacancy in Board membership by a head of department

One casual vacancy exists for membership by a head of department, to hold office to 31 December 2000. In accordance with the gender balance requirement of the Academic Governance Rules relating to the Board, the vacancy must be filled by a woman.

In accordance with the Academic Governance Rules relating to the Board (Section 43.(2), the Board may fill this vacancy by:

- (a) appointing an eligible member from the Academic Forum; or
- (b) if there is no eligible member from the Academic Forum, a person who is eligible to be elected to that category of members to the Academic Forum.

Nomination for appointment to a casual vacancy

The Chair nominates Associate Professor Elspeth Probyn for membership of the Board under Section 43.(2). The Board is asked to appoint Associate Professor Probyn to Board membership, as recommended, to hold office from 10 March 1999 to 31 December 2000.

13.3 Appointment of Members of Central Promotion Committees

Following advice from the Chair of the Academic Board, the following amendments have been made to the membership of the Central Promotions Committees for 1999:

Senior Lecturer

Associate Professor Sybille Lechner has replaced Associate Professor Carol Armour.

Professor

Pro-Vice-Chancellor (CHASS)

Professor Margaret Harris has replaced Professor Judyth Sachs.

The full committees are as follows:

Senior Lecturer

Professor Ken Eltis (Deputy Vice-Chancellor, Planning and Resources) (Chair)

Chair Academic Board

Associate Professor Warwick Wilson (external - University of Western Sydney)

Associate Professor Tim Fitzpatrick (nominee, Pro-Vice-Chancellor, CHASS)

Dr Mary Jane Mahony (nominee, Pro-Vice-Chancellor, CST)

Associate Professor Sybille Lechner (nominee, Pro-Vice-Chancellor, CHS)

Associate Professor Rebecca Mason (Physiology)

Associate Professor Jock Keene (Geology and Geophysics)

Associate Professor Ros Arnold (Education)

Associate Professor

Professor Ken Eltis (Deputy Vice-Chancellor, Planning and Resources) (Chair)
Chair Academic Board
Professor Kevin McConkey (external - University of New South Wales)
Associate Professor Ros Atherton (nominee, Pro-Vice-Chancellor, CHASS)
Professor Greg Hancock (nominee, Pro-Vice-Chancellor, CST)
Professor Roger Dampney (nominee, Pro-Vice-Chancellor, CHS)
Associate Professor Russell Ross (Economics)
Associate Professor Jill Gordon (Medicine)
Professor Richard Collins (Physics)

Professor

Professor Gavin Brown, Vice-Chancellor (Chair)
Professor Ken Eltis (Deputy Vice-Chancellor, Planning and Resources)
Chair Academic Board
Professor Kevin McConkey (external - University of New South Wales)
Professor Don Napper (Pro-Vice-Chancellor, CST)
Pro-Vice-Chancellor (CHASS)
Professor John Young (Pro-Vice-Chancellor, CHS)
Professor Margaret Harris (English)
Professor Richard Collins (Physics)
Professor Beth Reid (Health Information Management)

13.4 Membership of Board Committees

Set out below for members' information is the membership of Board committees:

Undergraduate Studies Committee

- (a) the Chair or a Deputy Chair, who shall act as chair of that Committee;
Professor Jocalyn Lawler
- (b) the Pro-Vice-Chancellor (Teaching)
.....
- (c) a nominee of each Faculty offering undergraduate programs, nominated by the Dean;

Agriculture	Dr Edith Lees
Architecture	Ms Kristine Sodersten
Arts	Dr Michael Walsh
Dentistry	Dr Deborah Cockrell
Economics	Dr Jim Kitay
Education	Associate Professor Lloyd Dawe
Engineering	Associate Professor Geoff Barton
Health Sciences	Mr Hal Davey
Law	Ms Barbara McDonald
Medicine	Dr Greg Ryan
Nursing	Ms Aileen McAuliffe
Science	Associate Professor Chris Gillies
Veterinary Science	Dr David Evans
Sydney College of the Arts	Mr Steven Lojewski
Sydney Conservatorium of Music	Dr Ross Gilbert
Orange Agricultural College	Mr Ross Wilson
- (d) two undergraduate students:
 - (i) one of whom is to be nominated by and from the undergraduate student members of the Academic Forum:
Mr Michael Frost
 - (ii) the other of whom is to be a nominee of the Students' Representative Council:

Mr Luke Whittington

Graduate Studies Committee

- (a) the Chair or a Deputy Chair who shall act as chair of that Committee
Professor Grant Steven
- (b) the Pro-Vice-Chancellor (Research)
Professor David Siddle
- (c) the Pro-Vice-Chancellor (Teaching)
.....
- (d) the chair (or the chair's nominee) of the Board or Committee of Postgraduate Studies in each Faculty
 - Agriculture Associate Professor Frank Nicholas
 - Architecture Professor John Gero
 - Arts Associate Professor Adrian Mitchell
 - Dentistry Professor D Murray Walker
 - Economics Associate Professor Russell Ross
 - Education Dr Len Unsworth
 - Engineering Associate Professor John Small
 - Health Sciences Dr Reg Mitchell
 - Law Associate Professor Alex Ziegert
 - Medicine Associate Professor Cedric Shorey
 - Nursing Dr S West
 - Science Associate Professor Tony Masters
 - Veterinary Science Associate Professor Robert Love
 - Graduate School of Business Associate Professor Susan Ellis
 - Orange Agricultural College Mr Basil Baldwin
 - Sydney College of the Arts Dr Eril Bailly
 - Sydney Conservatorium of Music Dr Peter McCallum
- (e) a member of the Teaching and Learning Committee
Ms Fran Everingham
- (f) at least one member of the Postgraduate Awards Sub-Committee, other than the Chair
.....
- (g) the Chair of the Research Committee
Professor David Cockayne
- (h) two postgraduate students:
 - (i) one of whom is to be nominated by and from the postgraduate student members of the Academic Forum:
Mr Tarrin Wills
 - (ii) the other of whom is to be a nominee of the Sydney University Postgraduate Representative Association:
Mr David Trudinger

Teaching and Learning Committee

- (a) the Chair or a Deputy Chair who shall act as chair of that Committee
Professor Judyth Sachs
- (b) the Pro-Vice-Chancellor (Teaching)
.....
- (c) the Chair of the Education working party of the Information Technology Committee
Dr Mary Peat
- (d) the Director, Centre for Teaching and Learning
Dr Angela Brew (representing the Centre)
- (e) the Director of NeTTL
Associate Professor Tony Koppi
- (f) the Director of the Learning Assistance Centre

-
- Ms Janet Jones
- (g) the Chair of the Coursework Sub-Committee of the Graduate Studies Committee
Associate Professor Russell Ross
 - (h) a member of the Undergraduate Studies Committee, nominated by the Chair of that Committee
.....
 - (i) two academic staff members from each College nominated by the Chair of the Academic Board after consultation with the relevant Pro-Vice-Chancellor (College)
 - (a) Humanities & Social Sciences
Dr Deborah Brennan (to July 1999)
Mr Les McCrimmon (from July 1999)
Ms Lindsey Napier (to July '99)
Dr Judy Quinn (from July '99)
 - (b) Health Sciences
Ms Fran Everingham
Dr Nick King
 - (c) Sciences & Technology
Dr Cynthia Mitchell
Mr James Dalziel
 - (j) the Presidents of
 - (i) the Students' Representative Council
Ms Arlie Loughnan (representative)
 - (ii) the Sydney University Postgraduate Representative Association
Mr Dave Trudingeror a person nominated by either of them and chosen from the undergraduate or postgraduate (as the case may be) members of the Academic Forum.

Research Committee

- (a) the Chair or a Deputy Chair who shall act as chair of that Committee
Professor David Cockayne
- (b) the Pro-Vice-Chancellor (Research)
Professor David Siddle
- (c) the Chair of the Graduate Studies Committee
Professor Grant Steven
- (d) eight other persons appointed by the Academic Board on the advice of the chair of the Committee and taking into account the following factors:
 - (i) high personal standing in the University in research;
 - (ii) current research activities;
 - (iii) University-wide perspective (if possible supported by evidence);
 - (iv) collective experience or expertise in working with the major granting bodies;
 - (v) collectively embracing all types of research activity within the University (for example, pure or applied research, research based in a laboratory, library or fieldwork, research as an individual or in a team environment); and
 - (vi) reflecting the broad disciplinary clusters across the University
Professor Graeme Gill
Professor Stephen Garton
Professor Ian Hume
Professor Margaret Clunies Ross
Professor Donald Melrose
Associate Professor David Cook
Dr Jennifer Lingard
Professor John Carter
- (e) one postgraduate student being the President of the Sydney University Postgraduate Representative Association, or that person's nominee
Mr David Trudinger

Humanities and Social Sciences

Professor Hugh Clarke

Sciences and Technology

Associate Professor Phillip Jones

Professor Lester Burgess

Professor Ross McPhedran

- (h) the Presidents of
 - (i) the SRC - Mr Luke Whittington
 - (ii) SUPRA - Mr David Trudinger