



# The University of Sydney

## Academic Board Agenda

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### ADDITIONAL MATERIAL

for the meeting on Wednesday 10 December

	Pages
15. Report of the Academic Staffing Committee	
(Professor Judyth Sachs)	
★ 15.1 Oral report of the Chair	
<i>Recommendation</i> That the Academic Board note the report of the Chair of the Academic Staffing Committee.	
15.2 Report of the meeting held on 4 November 2003	3-28
15.2.1 Receipt of report	
<i>Recommendation</i> That the Academic Board receive and note the report of the Academic Staffing Committee meeting held on 4 November 2003.	
15.2.2 Academic promotions	3, 4-27,
	<i>attachment 1, attachment 2, attachment 3</i>
<i>Recommendation</i> That the Academic Board: (1) endorse the revised academic promotions documents; and (2) recommend that the Senior Deputy Vice-Chancellor approve the academic promotions documents, as set out in the report presented.	
15.2.3 Academic Board nominees on selection committees	3, attachment 4, 28
<i>Recommendation</i> That the Academic Board note the information provided to Academic Board nominees on selection committees, as set out in the report presented.	

#### 15.2.4 Proceedings of the Committee

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***Recommendation***

*That the Academic Board note the proceedings of the Academic Staffing Committee meeting held on 4 December 2003, as set out in the report presented.*

**AGENDA ITEM 15**  
**Report of the Academic Staffing Committee**

**15.2 Report of the Academic Staffing Committee meeting held on 4 December 2003**

The Committee met on 4 December 2003 when there were present: the Chair (Professor J Sachs) presiding, Professors S Andrews, M Fry, S Jones and R Wheen, and Associate Professors B McDonald and P Phibbs. Ms P Colvin and Ms B Emms were in attendance.

**15.2.1 Receipt of report**

The Committee recommends that the Board receive and note the following report of its meeting held on 4 November 2003.

**15.2.2 Academic promotions**

4-27

*attachment 1, attachment 2, attachment 3*

The Academic Staffing Committee has been reviewing the academic promotions documentation and recommends that the Academic Board endorse the revised documents for approval by the Senior Deputy Vice-Chancellor.

***Recommendation***

*That the Academic Board:*

- (1) endorse the revised academic promotions documents; and*
  - (2) recommend that the Senior Deputy Vice-Chancellor approve the academic promotions documents,*
- as set out in the report presented.*

**15.2.3 Academic Board nominees on selection committees**

*attachment 4, 28*

The Academic Staffing Committee has developed an information brochure for Academic Board nominees on selection committees. The associated flowchart outlines the steps in the process.

***Recommendation***

*That the Academic Board note the information provided to Academic Board nominees on selection committees, as set out in the report presented.*

**15.2.4 Proceedings of the Committee**

The Committee discussed issues relating to the academic recruitment process and associated referees reports; and honorary appointments. The Pro Vice-Chancellor (Employee Relations) reported on the progress of negotiations and discussions with the Unions and the workplace reforms.



## The University of Sydney

### Procedures and Guidelines Document

### Promotion of Academic and Academic Research-Only Staff to Levels B, C, D and E - Committee Procedures

For the definitions of terms used in this document refer to the Delegations of Authority. Senior Delegated Officer (SDO) means the manager with the delegated authority for the management of a number of organisational units and/or University wide function(s). As appropriate for the local nomenclature and reporting lines, where this document refers: to area/Department read also School, Discipline, Unit; to Head read Head/Chair of Department/School/Discipline/Unit; to Dean read Director/College Principal/Administrative area equivalent, and to Pro-Vice-Chancellor read also as appropriate Deputy-Vice-Chancellor; to academic staff read also academic research only staff.

#### **EEO requirements**

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The University is committed to ensuring equal employment opportunity for all staff. In order to meet this commitment, the University must ensure that it does not discriminate against employees (including in promotion) on the grounds of sex, pregnancy, race (including colour, ethnic background or national identity), marital status, disability, sexual preference, transgender status, political or religious belief or age. Discrimination against any employee on these grounds is a breach of University policy and, in most circumstances, is unlawful.

Accordingly, members of promotion committees must ensure that they apply only the relevant promotion criteria in assessing an application, and must not discriminate against any applicant on any of the grounds mentioned above.

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

#### **Privacy and confidentiality**

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The names of applicants, information contained in applications referees'/assessors' reports, and the content of interviews and discussions within promotion committees shall be confidential subject to any requirement of disclosure by law, including under the NSW *Freedom Information Act 1989*. Any committee member who breaches confidentiality will be required to withdraw from the committee and may be subject to disciplinary action.

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## **Responsibilities of Heads**

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The Head must have a sound knowledge of all facets of the applicants work relevant to their application for promotion<sup>1</sup> and must:

- (a) complete a report (Levels B-D) on the applicant at the request of the relevant Personnel Services Team. This report should accurately represent the views of the professor most concerned and all other relevant staff in the Department, including any divergent views. The report must list those staff who have been consulted<sup>2</sup> and be countersigned by the applicant who has the right to provide a written response. The written response should be provided at the time the applicant countersigns the report. The Head will not make a written reply to the applicant's response
- (b) complete and sign the appropriate section of the Teaching and Research Student Supervision Activities Form.

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## **Responsibilities of the Personnel Services Teams**

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The Personnel Services Teams (College) will assume responsibility for:

- (a) receiving and acknowledging applications
- (b) checking the eligibility for promotion of applicants; that they have an appointment extending for at least one semester beyond the effective date of promotion, advising the Chair of the FPC of any eligibility issues concerning applicants and if they have the requisite approval if applying from the previous year.
- (c) advising the applicants of any problems regarding CPC membership or nominated referees
- (d) calling and receiving referees'/assessors' reports (as appropriate)/sending application and publication list to assessors
- (e) calling for Head's reports (Levels B-D only)
- (f) notifying applicants of the CPC membership (Levels C-E only)
- (g) notifying applicants of the outcome of their application
- (h) retaining a list of applicants for each year

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

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## **Promotions Committees**

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

Faculty Promotions Committees (FPCs)

Central Promotions Committees (CPCs)

Each application, except for those for Level B where the final recommendation is made by the FPC, is subjected to a two step assessment process. It is the task of the CPC to ensure that standards are equitable and to make the final recommendations for or against promotion. The CPC will be guided by the advice of the FPC.

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<sup>1</sup> In completing the report on the applicant the Head is signing to indicate they have a sound knowledge of the applicants work eg the Head has not been absent from the University for a significant period of time during the period prior to the application. Where a new or acting Head feels they do not have sufficient knowledge of the applicant it is their responsibility to ensure that they consult appropriately eg with the Dean or the Professor most concerned. Under extraordinary circumstances eg conflict of interest, the Head may not be the appropriate person to write the report. In these cases the writing of the report should be delegated to a senior member of staff, approved by the Pro-Vice-Chancellor.

<sup>2</sup> This includes those staff who were asked but have declined to comment. Comments (or the lack thereof) should not be attributed to a particular staff member without their explicit agreement.

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

Level B - recommendation made by the FPC for approval by the Senior Deputy-Vice-Chancellor

Level C - recommendation made by the FPC. Final recommendation made by CPC for approval by the Senior Deputy-Vice-Chancellor

Level D - recommendation made by the FPC. Final recommendation made by CPC for approval by the Senior Deputy-Vice-Chancellor

Level E - recommendation made by the FPC. Final recommendation made by CPC for approval by the Senate Chair Appointments Committee.

## Section I: Faculty Promotion Committees (FPC)

### Constitution of the FPC

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

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

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

FPC's must have the following constitution (at least one reserve must be nominated for both core and additional members):

#### Promotion to Levels B, C and D

(a) **Core** – normally five members (but may have up to a maximum of seven) comprising:

- Dean (Chair) or nominee (with agreement of the Pro-Vice-Chancellor (College))
- two members from the Faculty
- one member from another Faculty
- an Academic Board nominee
- up to two other members in exceptional circumstances.

Note: FPC's for small Faculties should have at least two members from outside the Faculty.

(b) **Additional members:**

- the Head (or nominee)
- at least one member who will normally have expertise in the applicant's general field.

#### Promotion to Level E

(a) **Core** – normally six members (but may have up to a maximum of eight) comprising:

- Dean (Chair) or nominee (with agreement of the Pro-Vice-Chancellor (College))
- normally four and no more than six Professors of the Faculty and/or of a cognate Faculty. Small Faculties may augment with professor(s) from another university.
- an Academic Board nominee

(b) **Additional members:**

- two persons expert in the applicant's general field, at least one of whom must be external to the University
- Head (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 on the FPC.

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

### **Conditions of FPC membership**

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- (a) FPC members must have academic rank not lower than that of the grade to which promotion is sought.
- (b) The additional members may include people with relevant expertise from outside the University.
- (c) FPC members must not be referees for any applicant to be considered by the committee unless there are exceptional circumstances with the approval of the Senior Deputy Vice-Chancellor.
- (d) Members of the FPC must not be members of the CPC considering applications at the same level.
- (e) 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)**

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The FPC Chair will assume responsibility for:

- (a) liaising with the Personnel Services Team regarding the eligibility of applicants for promotion
- (b) checking that FPC members are not referees (or assessors, for Level E) of applicants considered by that FPC
- (c) receiving, recording and making available to the FPC members, the publications provided by the applicant
- (d) nominating assessors for Level E - the assessors should be external to the University, of high international standing and be able to comment on the field of expertise of the candidate
- (e) reporting recommendations for FPC membership, including reserves (and any subsequent changes) to the Pro-Vice-Chancellor (College) for approval
- (f) advising applicants of the initial membership and any changes to their FPC, and of the nominated assessors (level E only)
- (g) referring any applicants who have objections regarding membership of the FPC or nominated assessors (level E only) to the Chair of the relevant CPC (Senior Deputy Vice-Chancellor or nominee)
- (h) distributing all papers (including these Committee Procedures and Guidelines) to the FPC, and ensuring that all members of the FPC are familiar with the guidelines document
- (i) arranging all FPC meetings and advice to all those attending
- (j) notifying applicants of the time of interview at least one week prior to the interview
- (k) asking all members of the committee, at the beginning of the FPC meeting, to declare any personal interest in any application
- (l) ensuring all papers are unmarked, in the original state and in the appropriate order, collecting them and forwarding them to the appropriate Personnel Services for forwarding to the CPC

- (m) preparing the FPC report:
  - preparing a draft
  - sending the draft report to all committee members (including the additional members) for comments
  - checking that the constitution of the FPC has been properly recorded in the FPC Report
  - ensuring that the report provides sufficient detail to explain how the FPC reached its decision regarding its recommendation for promotion for each applicant.
  - finalising the report taking into account the comments received
  - forwarding the final report to core members for their signature
  - forwarding the FPC report, the referees reports and the applications to the appropriate Personnel Services Team
- (n) preparing a one page synopsis on each level E applicant recommended by the FPC. The synopsis is to be forwarded to Corporate Personnel Services at the same time as the FPC report for forwarding to Senate.
- (o) notifying all members of the FPC if the CPC has not endorsed the FPC recommendation
- (p) providing feedback to unsuccessful applicants about all aspects of their application, after the recommendations have been approved.

In addition, for Levels C, D and E, the FPC Chair is required to keep the **whole day** of the CPC meeting free to be available to attend the CPC meeting as required. A specific time will be advised during the day. The Chair may be asked to answer questions concerning applicants, the referees' reports (and assessors' reports for Level E) and the FPC report.

### **Responsibility of FPC members**

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FPC members:

- (a) must declare any personal interest in any application, as soon as possible to the Chair of the FPC
- (b) must maintain confidentiality regarding the names of applicants, information contained in applications referees' /assessors' reports, and the content of interviews and discussions within the committee. Any committee member who breaches confidentiality will be required to withdraw from the committee and may be subject to disciplinary action.
- (c) **must not write on or mark** any application or additional papers as these are referred onward to the CPC
- (d) 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.

### **Interviews by the FPC**

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Interviews will be scheduled for up to 30 minutes for Levels B to D and 40 minutes for Level E.

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 FPC's 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.

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## **FPC request for additional information**

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In some special circumstances, the FPC may request additional information from applicants. Any such additional information will be attached to the FPC report.

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## **Assessment of applications by the FPC**

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Applications are to be considered only on their merits in relation to the criteria for promotion (*See Criteria for each Level of Appointment in the Applicant Information Pack*)

All FPC members will vote for or against promotion in each case. **A secret ballot must not be conducted.** Applicants who receive **more** than two-thirds positive votes are supported for promotion. The votes will be recorded in a table which shows each named committee member's vote for each named applicant and identifies those applicants recommended for promotion.

The FPC should make a clear cut decision in relation to the standards of evaluation either to recommend or not recommend promotion for each applicant.

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## **Format of the FPC Report**

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The FPC Report must include sufficient detail to explain how the FPC reached its decision regarding its recommendation for promotion for each applicant. Each unsuccessful applicant receives that section of the report which relates to their application.

The report must include:

- (a) a final voting table which must show each named committee member's vote for each named applicant, identifying those applicants recommended for promotion
  - (b) 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
  - (c) for Levels B-D the report must include a specific statement of the standards: outstanding, superior, satisfactory, not meeting criteria judged to have been reached in the three categories of activity: teaching, research/scholarship/creative/professional work, and service to the University/discipline/ profession
  - (d) comments on the standing of referees (and assessors for Level E)
  - (e) comments on the status of publications, and on the expectations regarding publications in the particular field of the applicant
  - (f) comments on the expectations regarding performance for the discipline in each of the categories for promotion
  - (g) a declaration, signed by the core committee members that the procedures of the FPC were in accordance with the procedures and guidelines for FPC's 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 Senior Deputy Vice-Chancellor
- NOTE: this process may be carried out by email provided that the committee member clearly states in the email that "he/she has read the report of the Faculty Promotions Committee and confirms that the procedures of the Committee were in accordance with the procedures and guidelines for the Faculty Promotions Committee."
- (h) details of the additional members to the committee.

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## **Forwarding the FPC report**

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The FPC Report should be sent to Corporate Personnel Services, who will examine the report immediately and bring any concerns to the attention of the FPC Chair.

## Section III: Central Promotions Committee (CPC)

### Constitution of the CPC

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

#### Promotion to Level C or D:

- Senior Deputy Vice-Chancellor or nominee (Chair)
- Chair of the Academic Board
- one senior academic from another University - nominated by the Senior 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.

#### Promotion to Level E:

- Vice-Chancellor (Chair)
- Senior 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 CPC membership

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- (a) CPC members must have academic rank not lower than that of the grade to which promotion is sought.
- (b) CPC members must not be referees for any applicant to be considered by the committee.
- (c) 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.
- (d) 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.
- (e) The CPC may include a Head who has provided the Head's report for an applicant being considered by that CPC.

### Functioning of the CPC

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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 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 which will serve 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 before it makes its final decision on the recommendations.

Where the CPC does not endorse an FPC recommendation for promotion, the Chair will provide a written statement outlining the reasons to the unsuccessful applicant and to the FPC Chair.

### **Responsibility of the Chair of the CPC**

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The Chair of the CPC or nominee will:

- (a) examine the reports of the FPC as soon as they are received from Corporate Personnel Services and raise any concerns about procedures with the Chair of the FPC
- (b) if deemed necessary may ask for further reporting, the reconvening of the FPC and the submission of a new report
- (c) report on any concerns regarding FPC procedures to the membership of the CPC
- (d) review the preliminary voting prior to the CPC meeting
- (e) ask members of the committee to declare any personal interest in any application
- (f) for Level D, forward the recommendations for promotion to the Vice-Chancellor for approval
- (g) for Level E, forward the recommendations for promotion, accompanied by a brief statement on each recommended applicant, to the Senate Chair Appointments Committee for approval
- (h) provide feedback to unsuccessful applicants if requested.

## Section III: Policy Administration

### Background/Context

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

#### **Authority/consultation**

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This policy has been drafted by the Academic Staffing Committee in collaboration with Mr C Coffey, Ms H Beamish and the Personnel Policy and Strategic Planning Unit (Ms J Deitch, Ms D Bruu, Ms L Schofield, Ms C Griffiths) taking into consideration comments made by Ms T Adler, Mr P Hannah, Ms T McAloon, Ms J McGregor, Mr S Malcolm, Ms P Manly, Ms M Ticic, and Professor R Rose

Amendments to the policy in 2003 developed by the Academic Staffing Committee in consultation with Ms H Beamish, Ms M Ticic and the Personnel Policy Unit (Ms J Deitch, Ms J Ross).

Further amendments to this policy in 2003 developed by the Chair of the Academic Board (Professor J Sachs), Assistant Pro-Vice Chancellor (Professor A Brewer), Academic Staffing Committee (Professor J Sachs, Professor M Fry, Professor S Andrews, Professor C Benrimoj, Professor A Coats, Professor S Jones, Professor C Murphy, Associate Professor P Jones, Associate Professor B McDonald, Associate Professor P Phibbs, Associate Professor R Wheen), Promotions Working Party (Professor J Sachs, Professor P Ramsden, Professor A Brewer, Professor G Moore, Professor D Melrose, Professor L Zhang, Professor R Newman, Associate Professor J Christodoulou, Dr R Ewing) Secretary to the Academic Staffing Committee (Ms J Ross, Ms B Emms).

#### **Ownership**

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Academic Board

#### **Management responsibility**

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Senior Deputy Vice-Chancellor  
Chair of Academic Board

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## Dates

### Approval

By \_\_\_\_\_

Date \_\_\_\_\_

Senior Deputy Vice-Chancellor

**Date of Effect:** 1.1.2004

**Proposed Date of Review:** 31.12.2004

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## References

A Policies, procedures etc which will be superseded by this document

- Academic Promotions 2002 - Associate Professor/Reader, Senior Lecturer, Lecturer
- Academic Promotions 2002 - 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)

B Relevant industrial awards/agreements

- Academic Award Restructuring Agreement Pursuant to the Structural Efficiency Principle of the August 1989 National Wage Case Decision - Final Phase (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 and Teaching Staff) Enterprise Agreement 1999-2002
- Minimum Standards for Academic Levels (MSAL) for Teaching and Research Academic Staff and for Research Only Academic Staff

C Other related policies/references

- Delegations of Authority: Part 1 Administrative functions (Senate 1.2.1999)
- Equal Employment Opportunity/Affirmative Action Management Plan
- Equal Opportunity and Affirmative Action Policy Statement (7.2.94)
- Policy document on academic promotions appeals (AB 16.8.2000)
- Policy document on the appointment of all categories of academic staff (AB 3.5.99)
- Policy document on the promotion of academic staff to Levels B, C, D, E (AB 17.2.99)
- Policy document on the promotion of research-only academic staff to Levels B, C, and D (AB 17.2.99)
- Policy document on the promotion of research-only academic staff to Level E (Senate 6.4.99)
- Statement of conditions of employment for academic staff (October 2000)
- Policy on disposal of confidential referees' reports on applicants for appointment and promotion (SM 3.2.95)
- Freedom of Information Act 1989

## **Applicant Information Pack: Promotion of Academic Staff**

For the definitions of terms used in this policy document refer to the Delegations of Authority. Senior Delegated Officer (SDO) means the person with the delegated authority for the management of a number of organisational units and/or University wide function(s). As appropriate for the local nomenclature and reporting lines, where this document refers to: area/ Department read also School, Unit, Discipline; Head read Head/Chair of Department/School/Unit/Discipline; Dean read Director/College Principal /Administrative area equivalent; Pro-Vice-Chancellor read also as appropriate Deputy-Vice-Chancellor.

### **1. Policy**

Applications for promotion are called for annually. In all cases, the effective date of the promotion is 1 January of the following year and the promotion is to step 1 of the new level of appointment.

All academic staff who are on a continuing appointment or a fixed term contract that extends at least one semester beyond the effective date of promotion are eligible to apply for promotion.

Unsuccessful applicants may not reapply in the year following their unsuccessful application unless there are special circumstances and approval is given by the Senior Deputy Vice-Chancellor for Levels B-D and the Vice-Chancellor for Level E.

To be promoted, a staff member must demonstrate sustained achievement at the current level of appointment in the three categories of activity – teaching, research/scholarship/creative/ professional work, and service to the University, discipline and community. Applicants must provide evidence of the capacity to perform at the level to which they are seeking promotion. It is unlikely, other than in exceptional circumstances, that a staff member will be able to show evidence of sustained achievement in less than two years from the date of appointment or previous promotion.

Assessment of applications for promotion is made by a committee of peers through a process designed to enable fair and consistent application of standards. The committees assessing applications are the Faculty Promotion Committee (FPC) (for all levels) and the Central Promotion Committee (CPC) (Levels C, D and E).

Applicants for promotion must not participate in the promotion process as committee members, referees or assessors (Level E only) at the level of promotion for which they are an applicant.

### **2. 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 depend on a wide and varied range of contributions.
- The University is committed to the principles of equity, equal opportunity, privacy and confidentiality.

### **3. Coverage**

This policy covers the promotion of staff to Academic Levels B-E.

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

### **4. Evaluation**

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

- teaching

- research/scholarship/creative/professional work
- service to the University, discipline and community.

The University has three standards for evaluation relating to promotion, which are understood as follows:

- outstanding - demonstrating very high levels of performance in meeting the criteria for the current level of appointment, as well as providing evidence of capacity to satisfy the criteria of the next level
- superior - demonstrating high levels of performance in meeting the criteria for the current level of appointment
- satisfactory - meeting the criteria at the current level of appointment.

Minimum Standards required for promotion:

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

*\*for research only staff, the levels of performance, contribution and output required to achieve a rating of outstanding in research/scholarship/creative/professional work are commensurately higher than for teaching and research staff, while the levels for a rating of superior in teaching (which includes research student supervision) are commensurately lower.*

5. Criteria for each Level of Appointment

**The following guidelines<sup>3</sup> provide an indication only as to the criteria to be met at the current level of appointment for both teaching and research staff and research only staff.**

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

For specific guidance on the types of activities and evidence of these that will need to be provided to demonstrate that they meet these criteria, applicants should refer to section C of the 'Guidelines and Advice for applicants on preparation of promotion applications' on pages 9 to 16 of this document.

**Level A (Associate Lecturer)**

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

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

<sup>3</sup> These have been adapted from the Higher Education Academic Salaries Award 2002, Schedule B, Minimum Standards for Academic Levels (MSAL) for Teaching and Research Academic Staff and for Research Only Academic Staff.

through participation in administrative and other Departmental/School and professional/community activities.

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

A Level A research academic will normally work under the supervision of academic staff at Level B or above, with an increasing degree of autonomy as the research academic gains skills and experience. A Level A research academic may undertake limited teaching, may supervise at undergraduate levels, and may publish the results of the research conducted as sole author or in collaboration. He or she will provide service to the University/discipline and community through participation in administrative and other Departmental/School activities and professional/community activities.

### **Level B (Lecturer)**

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

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

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

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

### **Level C (Senior Lecturer)**

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

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

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

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

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

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

**Level D (Associate Professor)**

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

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

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

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

**Level E (Professor)**

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

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

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

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

## Section II: Applicant Information Procedures for applying for promotion

### 1. Seeking advice

Staff wishing to apply for promotion should seek advice from their Head (and Supervisor if appropriate) or senior delegated officer (where the applicant is the Head) before submitting any promotion application and particularly after an unsuccessful application.

Applicants from departments that are outside normal Faculty structures should write to the Senior Deputy Vice-Chancellor who will decide which FPC will assess their application.

### 2. Preparing the application

An application should be prepared within the framework given in "Advice and guidelines for applicants for the preparation of promotion applications" of this document (pg 11 to 19).

### 3. Contacting and nominating referees

Applicants are required to submit the names, facsimile numbers and email addresses of no less than three and no more than five referees, including one referee who is familiar with and can comment on the applicant's teaching and who is specified as such on the Academic Promotion Information Sheet (NB the teaching referee is not required for research only applicants).

Members of promotion committees must not be referees for any applicant who is to be considered by that committee, unless there are exceptional circumstances approved by Senior Deputy Vice-Chancellor. Applicants will be advised by the Personnel Services Team if any of their nominated referees are subsequently nominated as members of a promotion committee.

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

Applicants should provide their referees with material to assist them in the preparation of their reports, including a copy of the application, the unit of study material and publication list. The Personnel Services Team will send a standard letter to referees asking for an opinion of the academic/professional qualifications of the applicants. A sample copy of the standard letter is available from the relevant Personnel Services Team.

### 4. Assessors (Level E only)

In addition to the referees nominated by the applicant, the FPC will seek the opinion of two independent assessors nominated by the Chair of the FPC. The Personnel Services Team will send each assessor a copy of the application including the publication list provided by the applicant. Applicants will be given the names of the assessors by the Chair or Faculty Officer and have the right to make written objections to the Chair of the FPC within seven days of the date of receipt of the advice, who will forward them to the Senior Deputy Vice-Chancellor for determination.

The Personnel Services Team will forward a copy of the application to the assessors.

### 5. Submitting the application

Applicants are asked to submit **twelve** copies for Levels B-D and **thirteen** copies for Level E of the application material to the relevant Personnel Services Team, by the closing date. Late applications will not be accepted.

### 6. Submitting copies of work

Applicants must also submit to the Faculty Office by the closing date, two copies of each of three pieces of published research/scholarship/creative/professional work (where applicable).

### 7. The Head's Report (for Levels B-D only)

The Head will be requested by the Personnel Services Team to provide a report on the applicant covering all three categories of activity (teaching; research/scholarship/creative/professional work; service to the University, discipline and community). In cases where the applicant is a Head the report is to be written by the Professor most concerned.

The Head should consult with appropriate members of the department before writing the report and indicate in his/her report whether the application and the standing of the referees have been discussed with other members of the department.

The report is to be discussed by the Head with the staff member concerned and signed by the applicant as an indication that this has been done.

The applicant has the right to make written comments on any matters raised in the Head's report. If providing a written response to the Head's report it must be submitted within seven days of the discussion with the Head. The Head will attach the staff member's response to their application. The Head may not make a written reply to the applicant's response.

#### **8. Updating an application**

Applicants may update their application only at the time of interview, by submitting **twelve** copies (for Level B-D) and **thirteen** copies for (Level E) of up to one page of significant additional information. Any such information will be attached to the FPC report.

#### **9. Constituting the promotion committees**

Each applicant will be advised in writing of the membership of the FPC (and nominated assessors for Level E) by the FPC Chair or Faculty Officer and membership of CAPC or CPC as appropriate by the relevant Personnel Services Team.

Applicants may address objections concerning membership to the Chair of the relevant CPC (Senior Deputy Vice-Chancellor or nominee), within seven days of the date of receipt of the advice.

#### **10. Consideration of the application**

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

##### Levels B-D

All applicants will be expected to attend an interview.

##### Level E

All applicants will be required to attend an interview.

Each applicant will be notified by the Chair of the FPC or 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 30 minutes for Levels B-D and 40 minutes for Level E. The purpose of the interview is to explore the application further and to provide opportunity for the applicant to update their application.

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 choose to defer their application, the application will be considered without interview.

After consideration of the applications and interviews, the FPC votes for or against promotion for each applicant.

The FPC recommendations for Level B applications are then forwarded to the Pro-Vice-Chancellor (College) for noting and then forwarded to Corporate Personnel Services. Recommendations for level C, D and E are considered by the CPC who has the primary task of ensuring that standards are equitable across the University.

## **11. Approval**

For levels B, C and D, recommendations are made to the Vice-Chancellor for approval. For Level E, recommendations are made to the Senate Chair Appointments Committee for approval.

## **12. Notification of outcome**

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

## **13. Conditions for appeal**

An appeal against an unsuccessful application for promotion may only be made on the grounds of a significant breach of procedure, provided 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)*

## **Guidelines and advice for applicants on preparation of promotion applications**

The following information is provided to assist in the preparation of an application for promotion.

In evaluating performance the University recognises that 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 depend on a wide and varied range of contributions.

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

### **A. Head's and referees' reports**

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 FPC's. It is unlikely that the applicant, or the applicant's work, will be known to all committee members who thus rely on the application and the head's and referee's reports as their main sources of information.

It is therefore crucial that applications are clear, concise, well structured and readable. Applications should indicate those areas of endeavour representing the applicant's particular strengths that justify promotion.

### **B. General specifications**

These guidelines are intended to ensure that all relevant information is provided. They are not a strict specification for the structure of an application, which should be designed for the clearest and most concise presentation of the case for promotion.

Applicants should highlight their achievements since their appointment or last promotion, but should refer in the application to their whole career to date.

The application should include in the following order  
*(Refer to 'Detailed guidelines' on pages 11-17)*

1. Academic Promotions Information Sheet (Attachment 1 - [hyperlink](#))
2. Summary of the case for promotion
3. Teaching portfolio
4. Research/scholarship/creative/professional work portfolio

5. Service to the University, profession and community portfolio
6. Teaching and research student supervision form (Attachment 2 – [hyperlink](#))
7. Summary of Publications (Attachment 3 – [hyperlink](#))

**Applicants please note:**

- applications must not exceed the specified word limits for each section
- applications should be no more than 50 pages in total (NB committees will not read beyond 50 pages)
- the same material must not be listed under more than one category (cross referencing should be used where necessary, e.g. where teaching materials are also creative work or teaching publications)
- applications should use 11 point Times New Roman (or equivalent) font, use only A4 sized paper with single-side printing, and be stapled in the top left corner (no folders).

**C. Detailed Guidelines**

**1. Academic promotions information sheet** (Attachment 1 - [hyperlink](#))

This is the cover page to the application and captures the applicant's appointment details and contact information for referees.

**2. Summary of the case for promotion**

*For levels B, C and D:* applicants should provide a succinct statement of 500 to 1000 words summarizing their case for promotion in relation to the three areas of teaching, research/scholarship/creative/professional work and service to the University/discipline/community and their level of performance in each.

*For level E:* a statement of no more than 2000 words which outlines the applicant's **sustained outstanding academic leadership**. Academic leadership is understood as:

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

**3. Teaching**

The University considers the following to be the five key dimensions of teaching (including research student supervision as appropriate):

*Performance* - appropriate planning and design, clear goals, effective presentation, instructional technique and online learning, appropriate assessment and feedback and evidence of the appropriate use of student evaluations.

*Research-led teaching* - encouraging imaginative student inquiry, sharing insights from research and scholarship with students and the use of primary sources and recent discoveries as part of teaching.

*Student-focused teaching* - teaching that places emphasis on students' perceptions and experiences and on the relation between students and subject matter as well as the teacher's performance.

*Scholarship in teaching* - systematic use of the best available evidence, including research evidence, to select and use teaching and assessment strategies. In some cases it may extend to original research in teaching methods, etc, in the field of study.

*Leadership in teaching* - the coordination and management of teaching teams and courses, curriculum and policy development and oversight, mentoring of junior staff (including acting as an associate supervisor), external recognition of teaching expertise and benchmarking of teaching quality with other universities and agencies.

### **The Teaching Portfolio**

The teaching portfolio provides the basis for arguing the case for judging teaching to be outstanding, superior or satisfactory. It should provide a brief statement of 500 to 1000 words providing evidence regarding the five dimensions of teaching (research only applicants may submit a shorter statement if appropriate).

In developing the Teaching Portfolio it is expected that applicants develop a case that highlights areas of greatest strength and supports their claims regarding outstanding, superior or satisfactory teaching. Applications should include details of all units of study taught and a sample unit of study outline. It is not expected that applicants provide evidence under all of the possible sources of evidence. The possible sources of evidence outlined in the table below are indicative and aim only at providing assistance to applicants.

**Note:** a full set of teaching materials should not be included in the basic documentation. If the nominee wishes to submit a more complete set of materials, this should be forwarded to the Dean for consideration by the FPC. Applicants should ensure that they provide a broad range of examples of evidence, noting that all types of examples listed below need not be addressed.

### **Examples of types of evidence**

Teaching performance	<ul style="list-style-type: none"><li>• Design and planning of teaching</li><li>• Use of appropriate delivery media to match teaching objectives</li><li>• Student evaluation results on questions relating to assessment; student comments from course experience questionnaire</li><li>• Used a wide and appropriate range of assessment techniques to support student learning and to record achievement</li><li>• Evaluated their own work with a range of self, peer and student monitoring and evaluation techniques.</li></ul>
Research-led teaching	<ul style="list-style-type: none"><li>• Effective design of curriculum to engage students in research-based activities</li><li>• Teaching materials make use of recent research and scholarship in appropriate field</li><li>• Developing knowledge and practice in a variety of supervisory research methods</li><li>• Encouraging the use of primary resources and up to date materials</li><li>• Sharing insights from one's own research to stimulate student inquiry and imagination</li></ul>

Student-focused teaching	<ul style="list-style-type: none"><li>• Evidence of use of student experiences and student assessment outcomes to modify teaching strategies</li><li>• Reflective application of student evaluation results to re-design units of study</li><li>• Recent student evaluation results</li><li>• Examples of learning materials and assessment approaches and outcomes</li><li>• Examples of evaluation of learning outcomes</li></ul>
Scholarship in teaching	<ul style="list-style-type: none"><li>• Systematic use of best available evidence to improve learning and teaching</li><li>• Evidence that systematic reflection and analysis has been used to improve teaching</li><li>• Participation in national and international conferences, seminars and workshops on learning and teaching</li><li>• Effective involvement in and leadership of funded or unfunded educational research</li><li>• Developing texts or educational materials which are widely adopted.</li></ul>
Leadership in teaching	<ul style="list-style-type: none"><li>• Major role in re-design and evaluation of curriculum</li><li>• Coordination and leadership of programs of study</li><li>• Leadership positions in faculty forums and committees</li><li>• Acting as a mentor to junior staff (including acting as an associate supervisor)</li><li>• Commendations or awards for teaching innovation and use of innovative teaching materials</li><li>• External invitations to teach and/or develop curricula and/or provide advice</li></ul>

#### 4. Research/scholarship/creative/professional work

Research/scholarship/creative/professional work is defined by the University as “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”

The University considers the following to be the four key dimensions of research/scholarship/creative/professional work:

*Program of research, scholarly, creative and/or professional work*

*Recognition received for research, scholarly, creative and/or professional work*

*Dissemination of research, scholarly, creative and/or professional work*

*Research leadership*

#### **The Research, Scholarship, Creative and Professional Work Portfolio**

The research portfolio provides the basis for arguing the case for judging the applicant’s research to be outstanding, superior or satisfactory. It should provide a brief statement of 500 to 1000 words (research only applicants statement may be up to 1500 words) providing evidence that the candidate has conducted and disseminated a sustained program of research, scholarly or creative work that is original in concept and has made a contribution to the discipline.

In developing the Research Portfolio it is expected that applicants develop a case that highlights areas of greatest strength and supports their claims regarding outstanding, superior or satisfactory research,

scholarship, creative and professional work. It is not expected that applicants provide evidence under all of the possible sources of evidence. The possible sources of evidence outlined in the table below are indicative and aim at providing assistance to applicants only.

**Examples of Types of Evidence**

<p>Program of research, scholarly, creative or professional work</p>	<ul style="list-style-type: none"> <li>• Evidence of having conducted and disseminated a sustained program of research, scholarly, creative or professional work (eg, research, scholarship, experimental development, research infrastructure development, art, compositions, plays, films, recordings, performances, professional projects, etc) that is original in concept and has made a contribution to the discipline.</li> </ul>
<p>Recognition received for research, scholarly, creative and/or professional work</p>	<ul style="list-style-type: none"> <li>• Grants, fellowships or commissions for research, scholarly or creative work (eg, successful proposals submitted to major competitive granting bodies, major research or professional consultancies, major planning projects, buildings and professional consultancies, or major commissions for artistic or musical work, etc, both quality and quantity).</li> <li>• Awards for research, scholarly or creative activities (eg, prizes, medals, winning entries in competitions, elected membership of academies, fellowship of academic associations or professional institutes, honorary degrees and other research, scholarship, creative or professional distinctions, etc.).</li> <li>• Critical acclaim for research, scholarly or creative work (eg, positive editorials, reviews, interviews or significant citations to one's research, scholarship or creative work by others in books, chapters, journal articles, national or international refereed conference proceedings, exhibition catalogues, curatorial essays or articles in major professional or artistic journals, or citation indices, etc.).</li> </ul>
<p>Dissemination of research, scholarly, creative and/or professional work</p>	<ul style="list-style-type: none"> <li>• Results of work published in refereed academic or major professional print or electronic journals, chapters in books published by appropriate publishers or national or international refereed conference proceedings, exhibited in group shows at major venues or included in significant collections, performed, recorded or presented by reputable producers or professional companies, or other forms of dissemination highly respected in the discipline.</li> <li>• Authored or edited books, monographs, compositions, analogue and digital works, scripts, multimedia programs and other publications by recognised university or commercial publishing houses, film festival showings, solo exhibitions or curated thematic exhibitions at major venues, submissions to government committees, or other means of dissemination highly respected in the discipline.</li> <li>• Invited keynote or plenary addresses and full-length prepared papers presented at major scholarly or professional conferences.</li> <li>• Proprietary and non-proprietary technical reports, training manuals, computer software, instrumentation, measurement, psychometric or evaluation instruments, invention or development of new procedures, processes and techniques, etc., including patents for same if applicable.</li> <li>• Further dissemination of research, scholarly or creative work through public media related to the discipline (eg, major appearances on radio and television, interviews and articles for the print media and major talks to community organisations, etc.).</li> </ul>

Research leadership	<ul style="list-style-type: none"><li>• Evidence of significant contributions to and leadership in national and international research, scholarly or creative activities (eg, leadership positions in academic, learned and professional societies, editorial advisory boards, invitations to review manuscripts or proposals, appointment to advisory organisations because of academic expertise, appointment to adjudicate art, creative performance, buildings, plans, competitions or other creative or professional work by major professional journals, associations or other groups highly respected in the discipline etc).</li><li>• Major responsibility for the organisation of research, scholarly or creative activities nationally or internationally (eg program chair or vice/co-chair of conferences, etc).</li><li>• Appointment and contribution to outside advisory organisations or boards of management of public or community organisations related to the discipline (eg tribunals, commissions of inquiry because of academic expertise, etc).</li><li>• Attracted and supervised a range of research, scholarly or creative personnel through the University (eg postgraduate research students, research assistants, post-doctoral fellows, visiting scholars, etc).</li></ul>
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## 5. Service to the University, Discipline and Community

*Service to the University* refers to contributions to institutional planning, governance, line management or contributions to the University community.

*Service to the Discipline* refers to service to the relevant profession or academic discipline, including clinical work, consultancy activities, service on local and national professional/discipline bodies.

*Service to the Community* refers to discipline/profession related contributions to the wider community which enhance the reputation of the University.

### The Service Portfolio

The service portfolio provides the basis for arguing the case for judging service to the university, discipline and profession to be outstanding, superior or satisfactory. It should provide a brief statement of 500 to 1000 words that highlights areas of greatest strength and supports applicant's claims regarding performance. The possible sources outlined below are indicative and aim at providing assistance to applicants.

Service to the University, the discipline and the profession is assessed by promotions committees in terms of the amount of activity, the degree of responsibility carried, and the quality of the service rendered.


The following notes are designed to assist applicants for promotion to prepare their case. They are not meant to be either comprehensive or exclusive.

1. The applicant should be able to give evidence of having made some *sustained personal efforts*, whether acting individually or as a member of a team (eg. a committee).
2. As a result of these efforts, it should be possible to point to *constructive achievements* in useful (and, possibly innovative) directions.
3. The applicant should be able to show *continuity of involvement* in the service role, the result of sustained efforts (in one or more directions) over some considerable period of time.


4. The applicant should have carried *major responsibility* for the outcome of some of the events claimed as achievements.

Service to the University	<ul style="list-style-type: none"> <li>• Service on Department/School/Faculty/University policy committees (eg. Head of School Advisory, Dean’s Advisory, Faculty Executive, Library Advisory, Academic Board, Senate).</li> <li>• Service on Committees of the Academic Board and/or working parties.</li> <li>• Administrative service of substantial significance to the governance of the University and its element units (eg. Head of Department, Head of School, School Grievance Officer, Higher Degrees Committee, Faculty Promotions Committee, Central Promotions Committee, Research Committee, Coordinator of First-Year Classes in large Schools).</li> <li>• More than occasionally giving invited advice and support to peers or more junior colleagues in the teaching and/or research domain (eg. mentor, informal critic, reviewer in Staff Development Review).</li> <li>• Service in the Staff Association in an office-bearing role leading to high-level interaction with the University’s administration (eg. advocacy in personnel matters, member of an enterprise bargaining team).</li> </ul>
Service to the Discipline	<ul style="list-style-type: none"> <li>• Editor, associate editor, advisory board member or referee of a scholarly journal.</li> <li>• Service on ARC, NH&amp;MRC, CAUT, and similar reviewing and funding panels.</li> <li>• Responsibility as organiser of national and/or international conferences.</li> <li>• Office-bearer of, or other actively-involved contributor to, a professional society.</li> <li>• Membership of a professional accreditation panel.</li> <li>• Liaison service on committees of related professional groups.</li> </ul>
Service to the Community	<ul style="list-style-type: none"> <li>• Service on, or on behalf of, Government Statutory Authorities or Commissions of Inquiry on matters of reform (social, political, economic, etc).</li> <li>• Department/School/Faculty display organiser or disciplinary advisor at University Open Days/Courses and Careers Days.</li> <li>• Liaison between secondary and tertiary education institutions (eg. HSC syllabus committee, resource person for school visits to talk with senior students).</li> <li>• Liaison between academia and industry (eg. technical standards committee; consortium steering committee, for example, for a CRC or a “technology park”).</li> <li>• Service to the community through honorary professional work (eg. Redfern Legal Centre, State Cancer Council as medical adviser to the Council, National Advisory Council on AIDS).</li> <li>• Lobbying and fundraising on behalf of discipline-related worthy causes (eg. a medical or legal academic’s work in raising public consciousness about the rights of the handicapped).</li> </ul>


### Section III

 **Attachment 1 - Academic Promotions Information Sheet**  
(application cover page)



 **Attachment 2 –Teaching & Research Student Supervision Activities Form**



 **Attachment 3 - Summary of Publications Form**



### Section IV: Policy Administration Background/Context

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

#### 1. Authority/consultation

This policy has been drafted by the Academic Staffing Committee in collaboration with Mr C Coffey, Ms H Beamish and the Personnel Policy and Strategic Planning Unit (Ms J Deitch, Ms D Bruu, Ms L Schofield, Ms C Griffiths) taking into consideration comments made by Ms T Adler, Mr P Hannah, Ms T McAloon, Ms J McGregor, Mr S Malcolm, Ms P Manly, Ms M Ticic, and Professor R Rose

Amendments to policy in 2002 developed by the Academic Staffing Committee in consultation with Ms H Beamish, Ms M Ticic and the Personnel Policy Unit (Ms J Deitch, Ms J Ross).

Amendments to policy in 2003 developed by the Chair of the Academic Board (Professor J Sachs), Academic Staffing Committee (Professor J Sachs, Professor M Fry, Professor S Andrews, Professor C Benrimoj, Professor A Coats, Professor S Jones, Professor C Murphy, Associate Professor P Jones, Associate Professor B McDonald, Associate Professor P Phibbs, Associate Professor R Wheen), Promotions Working Party (Professor J Sachs, Professor P Ramsden, Professor A Brewer, Professor G Moore, Professor D Melrose, Professor L Zhang, Professor R Newman, Associate Professor J Christodoulou, Dr R Ewing), and the Personnel Policy and Strategic Planning Unit (Ms B Emms).

#### 2. Ownership

Academic Board

#### 3. Management responsibility

Senior Deputy Vice-Chancellor  
Chair of Academic Board

#### 4. Dates

Approval by

\_\_\_\_\_ Date  
Senior Deputy Vice-Chancellor

Date of Effect: 1.1.2004  
Proposed Date of Review: 31.12.2004

## 5. References

### Policies, procedures etc which will be superseded by this document

- Academic Promotions 1999 to 2002 - Associate Professor/Reader, Senior Lecturer, Lecturer
- Academic Promotions 1999 to 2002 - 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)

### Relevant industrial awards/agreements

- Academic Award Restructuring Agreement Pursuant to the Structural Efficiency Principle of the August 1989 National Wage Case Decision - Final Phase (not certified)
- 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 and Teaching Staff) Enterprise Agreement 1999-2002
- Minimum Standards for Academic Levels (MSAL) for Teaching and Research Academic Staff and for Research Only Academic Staff (2002)

### Other related policies/references

- Delegations of Authority: Part 1 Administrative functions (Senate 1.2.1999)
- 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 3.5.99)
- Policy document on the promotion of academic staff to Levels B, C, D, E (AB 17.2.99)
- Policy document on the promotion of research-only academic staff to Levels B, C, and D (AB 17.2.99)
- Policy document on the promotion of research-only academic staff to Level E (Senate 6.4.99)
- Statement of conditions of employment for academic staff (October 2000)
- Policy on disposal of confidential referees' reports on applicants for appointment and promotion (SM 3.2.95)
- Freedom of Information Act 1989

# The Role of the Academic Board Nominee In the Selection Process

Levels A-D

