

# ACADEMIC PROMOTIONS POLICY 2015

With the endorsement of the Academic Board, the Vice-Chancellor and Principal, as delegate of the Senate of the University of Sydney, adopts the following policy.

Dated: 7 December 2015

Last amended: 21 June 2017 (administrative amendments)

Signature:

Name: Dr Michael Spence

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## CONTENTS

1	Name of policy.....	1
2	Commencement.....	1
3	Policy is binding.....	2
4	Statement of intent.....	2
5	Application.....	2
6	Definitions.....	2
7	Promotion generally.....	3
8	Eligibility for promotion.....	4
9	Criteria for promotion.....	5
10	Applying for promotion.....	5
11	Local Promotions Committees.....	6
12	Central Promotions Committees.....	7
13	Assessing applications for promotion to Levels B to D inclusive.....	7
14	Assessing applications for promotion to Level E.....	10
15	Approving promotions.....	12
16	Annual promotions rounds.....	12
17	“Out of round” promotions.....	12
18	Appeals.....	12
19	Confidentiality.....	13
20	Roles and responsibilities.....	13
21	Breaches by applicants.....	15
22	Rescissions.....	15
	SCHEDULE 1.....	19
	SCHEDULE 2.....	21
	SCHEDULE 3.....	24
	SCHEDULE 4.....	26

### 1 Name of policy

This is the Academic Promotions Policy 2015.

### 2 Commencement

This policy commences on 1 January 2016.

### 3 Policy is binding

Except to the extent that a contrary intention is expressed, this policy binds the University, staff, students and affiliates.

### 4 Statement of intent

This policy:

- (a) sets out the principles upon which, and the process by which, the University promotes its academic staff; and
- (b) provides for the fair and consistent application of absolute indicators of academic performance, benchmarked across disciplines and against institutions of similar international standing.

### 5 Application

This policy applies to:

- (a) all academic staff employed by the University on a continuing or eligible fixed term contract basis who wish to apply for promotion to a higher grade of employment; and
- (b) holders of conjoint titles who wish to apply for a higher conjoint title.

**Note:** See [Honorary Titles Policy 2013](#).

### 6 Definitions

**Academic Board nominee** means an individual selected from the list of Academic Board nominees published by the Academic Board on the University website.

**Note:** As at the date of this policy, this list is available at <http://sydney.edu.au/provost/promotions.shtml>

**additional member** means a member of a committee appointed as such in accordance with the committee's terms of reference.

**Note:** See Schedules 2 & 3 of this policy.

**assessor** means an expert in an applicant's field of expertise, external to the University and of high international standing, who is requested to provide an expert assessment of the work of an applicant, in accordance with clause 14 of this policy.

**CPC** means Central Promotions Committee.

**day** means calendar day.

<b>Dean</b>	means: <ul style="list-style-type: none"> <li>• in relation to a faculty, the Dean of the relevant faculty;</li> <li>• in relation to a University school, the Head of School and Dean (University school) of the of the relevant University School</li> </ul> <p>see University of Sydney (Governance of Faculties and University Schools) Rule 2016</p>
<b>delegate</b>	means a person or persons holding delegated authority from the Senate to undertake a particular action, as set out in the <a href="#">University of Sydney (Delegations of Authority – Administrative Functions) Rule 2016</a> .
<b>Director</b>	means, as appropriate, a director of a University centre or institute.
<b>effective date</b>	means 1 January each year in the case of annual promotions rounds, and from the first pay period after the contract is signed for “out of round” promotions.
<b>faculty</b>	means a faculty, University school or a board of studies as established in each case by its constitution.  see <a href="#">University of Sydney (Governance of Faculties and University Schools) Rule 2016</a>
<b>Head</b>	means a senior member of the academic staff nominated by the relevant Dean to undertake the role and responsibilities of a Head under this policy. The position may be titled Head of School or Head of Discipline, or have another title.
<b>LPC</b>	means Local Promotions Committee.
<b>“out of round” promotion</b>	means a promotion resulting from the process specified in clause 17 of this policy.
<b>promotion</b>	means movement from one grade of academic employment to another, higher grade. It does not refer to role changes within a single grading.
<b>reserve member</b>	means any member of a committee appointed as such in accordance with the committee’s terms of reference.  <b>Note:</b> See Schedules 2 and 3 of this policy.

## 7 Promotion generally

- (1) The University is committed to equal employment opportunity, and promotion opportunity, for all staff. 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;

- (e) disability;
  - (f) sexual preference;
  - (g) transgender status;
  - (h) political or religious belief; or
  - (i) age.
- (2) The University expects that, during their careers, all academic staff will:
- (a) be active in research and scholarship; and
  - (b) be committed to and participate in research-enriched teaching.
- (3) Each academic staff member is appointed to a position at a particular level, classified from Level A to Level E. Within these levels staff undertake particular roles, which may vary over time and over the course of a career.
- (4) There are three streams for promotion:
- (a) teaching and research;
  - (b) education-focussed; and
  - (c) research-focussed.
- (5) Promotion committees must ensure that each applicant's achievements are assessed relative to their opportunities to undertake tasks as compared to other members of staff at an equivalent level. This will include consideration of the impact of factors such as:
- (a) part-time or fractional employment;
  - (b) significant parenting or other caring responsibilities;
  - (c) clinical responsibilities; or
  - (d) disability
- (6) Promotions commence as from the next effective date.
- (7) A promotion approval does not constitute an extension of employment in circumstances where the staff member's employment does not extend beyond the next effective date.
- (8) The level of remuneration consequent upon a promotion will be determined by the relevant delegate, and will generally be at the first level of the payment scale applicable to the new appointment. An LPC or CPC may make recommendations in relation to remuneration.
- (9) The academic promotion process will be administered by the Academic Promotions Unit.

## **8 Eligibility for promotion**

- (1) Academic staff at Levels A to D may apply for promotion if:
- (a) their appointment is continuing; or
  - (b) their fixed term contract extends to the end of the year in which application is being made; and
  - (c) as at the relevant closing date they have completed an academic planning and development or performance management and development review in the past fifteen months.

**Note:** See [Performance Planning and Development Policy 2012](#).

- (2) **In addition to subclause 8(1), the following requirements will apply from 1 January 2017:**
- (a) They have completed at least 12 months employment at the University at their current level by the closing date for applications to the level for which they are applying; and
  - (b) They have discussed their intention to apply for promotion with the relevant person in their faculty no later than October 31 in the year before applying, and;
  - (c) A notification of intent to apply has been be lodged in the manner specified in the the procedures.
  - (d) Applicants are only eligible to apply for promotion once every two years.
- (3) Fractional and conjoint appointees may apply for promotion, and their applications will be assessed against the requirements expected for the relevant level, adjusted in terms of opportunities.
- (4) Where a position is funded by a grant, eligibility for promotion will depend on the grant conditions governing the funding of employment. Staff holding such positions may only apply for promotion under this policy if the applicable grant does not:
- (a) specify the classification or salary level; or
  - (b) prohibit personal promotion.

## 9 Criteria for promotion

- (1) The Provost may, in procedures associated with this policy, publish normative criteria setting out the achievement expectations for each level of academic employment. Staff considering applying for promotion should refer to any such criteria when constructing their application for promotion.
- (2) Applicants must provide:
  - (a) evidence of their capacity to perform at the level to which they are seeking promotion; and
  - (b) clear evidence of an upward trajectory in their performance, such as would warrant advancement to the next level of employment.
- (3) Applicants must demonstrate achievement of at least the minimum standards set out in Schedule 1 to this policy.

## 10 Applying for promotion

- (1) The Academic Promotions Unit will determine the closing date for applications for academic promotions, and will publish this date on the University website at least six weeks in advance.
- (2) A staff member may apply for promotion in any stream, regardless of their current role or appointment.
- (3) Applicants may change the stream in which they seek promotion provided that notice of such change is provided to the Academic Promotions Unit within the specified time limit.

- (4) Applications must be provided to the Academic Promotions Unit in the form and manner, and with the content, specified in the procedures.
- (5) In exceptional cases, applicants for promotion below Level E may apply to be promoted two levels.
  - (a) Submissions for promotions of two levels must be lodged in the manner specified in the procedures.
- (6) Applicants must provide details of a sufficient number of referees to enable at least three referees' reports to be provided.
- (7) The Academic Promotions Unit will notify each applicant of:
  - (a) the membership of the LPC which will consider their application;
  - (b) the membership of any CPC which will consider their application;
  - (c) the names of assessors who will report on their application; and
  - (d) any changes to committee memberships or assessors.
- (8) An applicant may make written objection to the membership of either the LPC or CPC, or nominated assessor, no later than seven days after the initial notification.
- (9) Objections lodged to any subsequent notification of LPC, CPC membership or nominated assessors must be made no later than four days after notification.
- (10) All objections:
  - (a) must be made in writing and provided to the Academic Promotions Unit; and
  - (b) will be determined by the committee Chair or, if the objection is to the Chair, by the Provost.
- (11) The Academic Promotions Unit will notify the applicant in writing of the outcome of the objection.
- (12) Applicants must not nominate members of LPCs, CPCs or assessors.
- (13) An applicant may update his or her application in the manner provided in the procedures. Responses to requests for clarification do not constitute updates.

## **11 Local Promotions Committees**

- (1) All applications will initially be considered and assessed by an LPC.
- (2) Applications will not be considered unless at least three referees' reports, one Heads report, one assessor report (Level D) and two assessor reports (Level E) have been obtained.
- (3) Applicants from centres outside the normal faculty structure will be assessed by the LPC for the faculty which in the opinion of the Provost is most relevant to the centre.
- (4) Each LPC is formed under the authority of the Provost and serves a faculty or group of faculties, as the Provost deems appropriate.
- (5) The Academic Promotions Unit, in consultation with the relevant Deans, will convene LPCs and determine the optimum number of such committees.
- (6) Separate LPCs will consider applications for promotion to each level.
- (7) The Provost may approve an LPC constituted to consider multiple levels, below E only.
- (8) The membership of each LPC will be determined as follows.

- (a) The Chair of each LPC will provide a list of recommended committee members, including reserves, to the Provost for approval.
  - (b) The Provost must approve any subsequent changes to LPC memberships, other than minor changes which may be approved by the Manager of the Academic Promotions Unit.
- (9) LPCs will be constituted, and have the terms of reference and operation, as specified in Schedule 2.

## 12 Central Promotions Committees

- (1) The following applications must be considered by a CPC in addition to an LPC:
  - (a) all applications for promotion to Levels D or E;
  - (b) any application for promotion to Level C which is recommended by an LPC convened for a single faculty and which has considered only applicants from that faculty.
- (2) CPCs will be convened by the Academic Promotions Unit.
- (3) Separate CPCs will consider:
  - (a) applications for promotion to Levels C or D; and
  - (b) applications for promotion to Level E.
- (4) CPCs will be constituted, and have the terms of reference and operation, as specified in Schedule 3.

## 13 Assessing applications for promotion to Levels B to D inclusive

- (1) When notified by the Academic Promotions Unit of the applicants for promotion from their school, the Head will:
  - (a) verify each applicant's teaching and research student supervision activities;
  - (b) prepare and submit to the Academic Promotions Unit a written report on each applicant; and
  - (c) **Until 31 December 2016**, discuss the content of their report with each applicant.
- (2) **The following requirements will apply to Heads' reports under subclause 13(1) from 1 January 2017.**
  - (a) The Head must not discuss the content of the report with the applicant.
  - (b) The report will remain confidential.
  - (c) Unsuccessful applicants will receive a copy of the Heads report.
- (3) Where a Head is also an applicant for promotion, the relevant Dean will nominate another member of the school or faculty to provide reports on applicants for promotion to the level to which the Head seeks promotion.
- (4) **Until 31 December 2016**, The Academic Promotions Unit will:
  - (a) provide each applicant with a copy of the relevant Head's report; and
  - (b) verify with the applicant that the relevant Head has discussed the report with them.

- (c) applicants may provide a written response to the Head's report if they wish. The Head is not entitled to submit any further reply or response.
- (5) **Until 31 December 2016**, applicants may provide a written response to the Head's report if they wish. The Head is not entitled to submit any further reply or response.
  - (a) **From 1 January 2017**, this subclause 13(5) will no longer apply.
- (6) The relevant LPC Chair must approve each assessor nomination form.
- (7) As soon as possible after receiving applicants' details from the Academic Promotions Unit, the Chair of each LPC will:
  - (a) Forward to the Academic Promotions Unit the approved nomination forms for an assessor and a reserve assessor for each application to Level D, after having:
    - (i) consulted the relevant Dean, and or Head to provide assessor nominations; and
    - (ii) checked that each nominee does not have a conflict of interest with the applicant and has agreed to participate and comply with applicable time frames;
  - (b) check with each member of the committee that he or she has no conflict of interests in considering any of the applications;  
**Note:** For the definition of conflict of interests, and further details of the University's expectations about such matters, see the [External Interests Policy 2010](#). For the avoidance of doubt, a committee member will have a conflict of interests if they act as a referee or assessor for an applicant to be considered by their committee.
  - (c) consider each possible conflict of interests and, if necessary, appoint a replacement member for the committee; and
  - (d) arrange one preliminary and one final committee meeting, and advise all members (including reserve and additional members) and the Academic Promotions Unit of the dates, times and places of the meetings.
- (8) The LPC Chair, Dean and, where applicable, Head must not consult the applicant about any proposed assessor, or permit others to do so.
- (9) The relevant LPC chair will notify applicants at least seven days in advance of the final LPC meeting dates.
- (10) LPCs for promotion to Levels B-D will meet twice, being:
  - (a) once for a preliminary meeting to discuss each application and to determine what, if any, further information is required from applicants; and
  - (b) once for a final meeting at which final decisions are made about whether or not to recommend each applicant for promotion.
- (11) LPCs will not interview applicants other than for Level E, except with the express authorisation of the Provost.
- (12) Each of these meetings will be conducted in the manner specified in the procedures.
- (13) No applicant may be recommended for promotion without the number of votes in favour being at least twice the number of votes against promotion.
- (14) The LPC may recommend that:



- (a) an applicant who applies for promotion by two levels be promoted by only one;
  - (b) an applicant who would not be promoted in the stream for which they have applied be promoted in another stream where appropriate.
  - (c) The LPC Chair, in consultation with the core members of the committee, will prepare a final report on the committee's recommendations in the format and with the content prescribed in the procedures.
  - (d) The report must be endorsed by each core member of the committee in writing or by email.
- (15) The Academic Promotions Unit will provide copies of LPC reports to the relevant delegate:
- (a) for approval, in the case of promotions which do not need to be considered by a CPC; or
  - (b) for confirmation that the report is in correct form and provision to the CPC Chair, in the case of promotions which need to be considered by a CPC.
- (16) The CPC Chair will consider the LPC report and discuss any concerns about procedural matters with the Chair of the relevant LPC.
- (a) The CPC Chair may then, if necessary, request further reporting from the LPC or direct the reconvening of the LPC and the provision of a new report.
  - (b) Any such request or direction must be made in writing and conveyed through the Academic Promotions Unit.
- (17) As soon as possible after receiving the final LPC report, the CPC Chair will:
- (a) check with each member of the CPC that he or she has no conflict of interests in considering any of the applications;  
**Note:** For the definition of conflict of interests, and further details of the University's expectations about such matters, see the [External Interests Policy 2010](#). For the avoidance of doubt, a committee member will have a conflict of interests if they act as a referee or assessor for an applicant to be considered by their committee.
  - (b) consider each possible conflict of interests and if necessary appoint a replacement member for the committee; and
  - (c) arrange for the committee to meet, and advise all members (including reserve and additional members) and the Academic Promotions Unit of the date and time.
- (18) CPCs will meet once, and the meeting will be conducted in the manner specified in the procedures.
- (19) No applicant may be recommended for promotion without the number of votes in favour being at least twice the number of votes against promotion.
- (20) The CPC may consult the Chair of the relevant LPC in considering any application, and must do so before making a final decision not to endorse an LPC recommendation. The LPC Chair will attend the CPC meeting for this purpose if required but may not be present for, or take part in, any vote.
- (21) Where an applicant has applied for promotion by two levels, the CPC may endorse promotion by only one, even if the LPC has recommended promotion by two.
- (22) The CPC may recommend promotion in a stream other than the stream in which an applicant has applied if:

- (a) the CPC believes the alternative stream to be more appropriate; and
  - (b) the CPC is not prepared to endorse a recommendation for promotion in the stream applied for.
- (23) The CPC Chair will provide a written statement to the LPC Chair on any decision not to endorse an LPC recommendation, including reasons. The LPC Chair will provide a copy of this statement to each member of the relevant LPC.

#### 14 Assessing applications for promotion to Level E

- (1) When notified by the Academic Promotion Unit of the applicants for promotion from their school, the Head will:
  - (a) Verify each applicant's teaching and research student supervision activities; and
  - (b) Prepare and submit a written report on each applicant.
  - (c) The Head must not discuss the content of the report with the applicant.
  - (d) The report will remain confidential.
  - (e) Unsuccessful applicants will receive a copy of the Heads report.
- (2) Where a Head is also an applicant for promotion, the relevant Dean will nominate another member of the school or faculty to provide reports on applicants for promotion to the level to which the Head seeks promotion.
- (3) LPCs will meet only once to consider applications for promotion to Level E, at which meeting they will:
  - (a) interview applicants; and
  - (b) make final decisions about whether or not to recommend each applicant for promotion.
- (4) As soon as possible after receiving applicants' details from the Academic Promotions Unit, the Chair of each LPC will:
  - (a) nominate to the Provost two assessors and a reserve assessor for each application, after having:
    - (i) consulted the relevant Dean and or Head to provide assessor nominations;
    - (ii) checked that each nominee does not have a conflict of interest with the applicant and has agreed to participate and comply with applicable time frames if the nomination is approved;
  - (b) the LPC Chair, Dean and Head must not consult the applicant about any proposed assessor or reserve assessor and must not permit others to do so.
  - (c) check with each member of the committee that he or she has no conflict of interests in considering any of the applications;  
**Note:** For the definition of conflict of interests, and further details of the University's expectations about such matters see the [External Interests Policy 2010](#). For the avoidance of doubt, a committee member will have a conflict of interests if they act as a referee or assessor for an applicant to be considered by their committee.
    - (i) consider each possible conflict of interests and, if necessary, appoint a replacement member; and

- (ii) arrange for the committee to meet, scheduling sufficient time for a 40 minute interview of each applicant plus discussion time;
  - (iii) advise all members and the Academic Promotions Unit of the date, time and place of the meeting.
- (5) The LPC Chair, Dean and, where applicable, Head must not consult the applicant about any proposed assessor or reserve assessor, and must not permit others to do so.
- (6) The Provost must approve each assessor.
- (7) The relevant LPC Chair will provide each applicant with at least seven days' notice of the date, time and place of the interview.
- (8) The LPC must interview each candidate for promotion to Level E.
- (9) No candidate may be recommended for promotion without the number of votes in favour being at least twice the number of votes against promotion.
- (10) The LPC Chair, in consultation with the core members of the committee, will prepare a final report on the committee's decisions. The report must:
  - (a) be endorsed by each core member of the committee in writing or by email; and
  - (b) provide a detailed explanation for the committee's decision on each applicant.
- (11) The CPC Chair will consider the LPC report and discuss any concerns about procedural matters with the LPC Chair.
  - (a) The CPC Chair may then, if necessary request further reporting from the LPC or direct the reconvening of the LPC and the provision of a new report.
  - (b) Any such request or direction must be made in writing, through the Academic Promotions Unit.
- (12) As soon as possible after receiving the final LPC report, the CPC Chair will:
  - (a) check with each member of the CPC that he or she has no conflict of interests in considering any of the applications;  
**Note:** For a definition of conflict of interests, and further details of the University's expectations about such matters, see the [External Interests Policy 2010](#).
  - (b) consider each possible conflict of interests and, if necessary, request the relevant nominator (as specified in Schedule 3) to appoint a replacement member; and
  - (c) advise all members and the Academic Promotions Unit of the date, time and place of the meeting.
- (13) The CPC Chair will advise the applicant of the date and time of the CPC meeting.
- (14) CPCs will meet once and the meeting will be conducted in the manner specified in the procedures.
- (15) No applicant may be recommended for promotion without the number of votes in favour being at least twice the number of votes against promotion.
- (16) The CPC may consult the Chair of the relevant LPC in considering any application, and must do so before making a final decision not to endorse an LPC recommendation. The LPC Chair will attend the CPC meeting for this purpose if required, but may not be present for, or take part in, any vote.

- (17) The CPC Chair will provide a written statement to the LPC Chair on any decision not to endorse an LPC recommendation, including reasons. The LPC Chair will provide a copy of this statement to each member of the relevant LPC.

## **15 Approving promotions**

- (1) Promotions recommended by LPCs and CPCs must be approved by the relevant delegate.
- (2) The Academic Promotions Unit is responsible for providing delegates with the relevant recommendations.

## **16 Annual promotions rounds**

- (1) The Academic Promotions Unit will call for applications for academic promotions annually. Applications for Level E will only be called for at this time.

## **17 “Out of round” promotions**

- (1) An “out of round” promotion may be initiated by any of:
  - (a) a Head;
  - (b) a Dean;
  - (c) a Director;
  - (d) the Provost; or
  - (e) the Vice-Chancellor;if:
  - (f) a valuable staff member has been offered an appointment at another institution; and
  - (g) the University wishes to offer promotion as a retention strategy.
- (2) Submissions requesting “out of round” promotion must be prepared and lodged with the Academic Promotions Unit in the manner specified in the procedures.
- (3) The Provost must be satisfied that a genuine offer has been made, and give approval for an “out of round” committee to be convened.
- (4) Where a request for “out of round” promotion is received on behalf of a candidate who has a current promotion application already in progress, the submission must be prepared and lodged with the Academic Promotions Unit in the manner specified in the procedures.
- (5) OOR committees will be constituted and have the terms of reference and operation, as specified in Schedule 4.

## **18 Appeals**

- (1) The only basis for appeal against an academic promotion decision is if:
  - (a) there has been a significant breach of this policy; and

- (b) it can be demonstrated that this may have affected the outcome of an application.
- (2) No appeal is available from an “out of round” promotion submission.
- (3) An appeal should be prepared and lodged in the manner specified in the procedures.

## 19 Confidentiality

- (1) Subject to any legal requirement for disclosure, the following are confidential and not to be disclosed outside the academic promotions process:
  - (a) names of applicants;
  - (b) information contained in applications, referees’ reports or assessors’ reports;
  - (c) the content of interviews; or
  - (d) the content of discussions within LPCs or CPCs.

**Note:** See the [Privacy Policy 2013](#) and the [Privacy Management Plan](#).

- (2) Any committee member who breaches confidentiality will be required to withdraw from the relevant committee and may be subject to disciplinary action.
- (3) At the end of each LPC and CPC process, all hard copy committee papers must be collected by the committee Chair and returned to the Academic Promotions Unit.
  - (a) The Academic Promotions Unit will retain only those materials required by the [University Recordkeeping Policy](#).
  - (b) The Academic Promotions Unit will ensure that all other hard copy materials are confidentially destroyed.
- (4) At the end of each LPC and CPC process, committee members must:
  - (a) destroy any hard copy materials in their possession;
  - (b) delete any electronic copy materials in their possession; and
  - (c) confirm to the committee Chair that they have done so.

## 20 Roles and responsibilities

- (1) **Applicants** are responsible for:
  - (a) ensuring their applications are lodged on time and in the appropriate manner and form;
  - (b) ensuring their applications address the relevant criteria for promotion;
  - (c) ensuring their referees are willing and able to provide reports within applicable timeframes;
  - (d) responding to requests for further information or clarification within applicable time frames;
  - (e) complying with this policy and its associated procedures;
  - (f) refraining from direct or indirect communication with any person involved in consultation about or consideration of their application; and

- (g) for Level E applicants, ensuring they are available to attend scheduled interviews
- (2) **Heads** are responsible for:
- (a) being available to give confidential advice and other forms of support to potential applicants before applications are submitted;
  - (b) having a sound knowledge of all facets of the applicant's work relevant to their application for promotion;
  - (c) providing reports on applicants for promotion to all Levels;
  - (d) verifying the appropriate section of the Teaching and Research Student Supervision Activities form for all levels;
  - (e) providing guidance to relevant LPCs and CPCs on the research and teaching norms expected of their discipline, including an assessment of the standard of the mechanisms used for dissemination of research relative to the norms of the discipline; and
  - (f) providing guidance to unsuccessful applicants if requested.
- (3) **The Academic Promotions Unit** is responsible for:
- (a) calling for applications in annual promotions rounds and setting applicable dates;
  - (b) convening LPCs and CPCs;
  - (c) notifying applicants of the membership of relevant LPCs and CPCs, and assessors, including any changes;
  - (d) managing all communications between applicants and LPCs, CPCs, and assessors;
  - (e) requesting referees' and assessors' reports, and seeking further information from third parties where requested to do so by an LPC or CPC;
  - (f) providing policy and procedural advice to LPCs, CPCs and their Chairs;
  - (g) publishing relevant important dates on the academic promotions website; and
  - (h) providing committee recommendations to the relevant delegates for approval.
- (4) **LPCs and CPCs** are responsible for:
- (a) assessing academic promotions applications presented to them;
  - (b) following all required policies and procedures;
  - (c) making clear recommendations in relation to each applicant as to:
    - (i) whether the applicant should be promoted;
    - (ii) the stream in which the applicant should be promoted; and
    - (iii) the level to which the applicant should be promoted.
- (5) **Chairs of committees** are responsible for:
- (a) arranging and conducting committee meetings;
  - (b) distributing materials and papers to the committee members as required;
  - (c) ensuring that the committee follows all required policies and procedures and that all members are aware of these;

- (d) appointing replacement committee members when required;
  - (e) preparing and submitting necessary reports and forms;
  - (f) for Chairs of LPCs, ensuring they are available to attend any CPC meeting which is considering recommendations made in their reports; and
  - (g) providing feedback to unsuccessful applicants if requested.
- (6) **Members of committees** are responsible for:
- (a) ensuring their availability to attend all scheduled committee meetings;
  - (b) declaring any conflict of interests (actual, potential or perceived) to the relevant Chair as soon as they are aware of it;
- Note:** See the definition of conflict of interests in the [External Interests Policy 2010](#)
- (c) appropriately managing any conflicts of interests;
  - (d) ensuring that they understand and comply with all policy and procedural requirements; and
  - (e) providing all necessary feedback to the Chair of their committee in a timely fashion.

## 21 Breaches by applicants

- (1) If an applicant fails to comply with the requirements of this policy and its associated procedures the Provost may direct that their application be withdrawn from the process for that round.
- (2) Failure to comply includes, but is not limited to:
  - (a) failing to meet relevant deadlines;
  - (b) interfering in the process in a manner which renders it unfair to others; or
  - (c) communicating directly or indirectly with individuals consulted about, or involved in considering, their application.

## 22 Rescissions

This policy replaces the Academic Promotions Policy 2014, which is rescinded with effect from the commencement date of this policy.

## NOTES

### Academic Promotions Policy 2015

Date adopted:	7 December 2015
Date commenced:	1 January 2016
Date amended:	1 April 2016

1 January 2017

21 June 2017 (administrative amendments)

Administrator: Provost and Deputy Vice-Chancellor

Review date: 7 December 2021

Related documents:

[University of Sydney \(Delegations of Authority – Administrative Functions\) 2016](#)

[Academic Staff Workloads Policy](#)

[Appointment on Nomination Policy and Procedures](#)

[Code of Conduct – Staff and Affiliates](#)

[Academic Promotions Procedures 2015](#)

[University of Sydney Enterprise Agreement 2013 – 2017](#)

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## AMENDMENT HISTORY

Provision	Amendment	Commencing
17(3), 17(5), 17(6)(b), 18(6)	Clarification to process for “out of round” promotions	1 April 2016
Schedule 3	Change in membership of CPC for Level E	1 April 2016
17(1)(f)	“and” changed to “or”, administrative amendment	4 May 2016
8(1)(c)	Clarification of timing	1 January 2017
8(2)(c) and 8(2)(d)	Additional requirements added	1 January 2017
10(5)(a)	New subclause added	1 January 2017
10(8)	Clarification of assessor and timing	1 January 2017
10(9)	New clause added	1 January 2017
10(10)	Minor amendments to improve readability, deletion of previous 10(10)(d) and renumbering of remaining subclause in 10.	1 January 2017
11(2)	Detail inserted regarding report requirements	1 January 2017
11(7)	Clause replaced	1 January 2017





<b>Provision</b>	<b>Amendment</b>	<b>Commencing</b>
11(8)(a)	Note removed	1 January 2017
11(9)	New clause added	1 January 2017
13(1)(c)	Date inserted	1 January 2017
13(2)(c)	New subclause added	1 January 2017
13(4)	Date inserted	1 January 2017
13(4)(c)	New subclause added	1 January 2017
13(6)	New clause added and subsequent clauses renumbered	1 January 2017
13(7)(a)	Clarification regarding steps to be taken by Chair of each LPC	1 January 2017
13(8)	Clause deleted	1 January 2017
14(1)	Subclauses (a) to (e) added and changes regarding first step in this part of the process	1 January 2017
14(2)	New clause added and subsequent clauses renumbered	1 January 2017
14(4)(a)(i), 14(4)(a)(ii)	Minor amendments regarding assessor nominations and conflict of interests	1 January 2017
14(4)(b)	New subclause added	1 January 2017
16(2)	Clause deleted	1 January 2017
17(1)(f)	“or” changed to “and”	1 January 2017
17(3)	Minor amendment for clarification	1 January 2017
17(5)- 17(10)	Clauses deleted and new clause 17(5)	1 January 2017
18(3)	Clauses 18(3) to 18(9) deleted and replaced with new clause 18(3)	1 January 2017
20(c)	Removed reference to specific levels	1 January 2017
Schedule 1	Removed references to Governance, Leadership & Engagement standards and Comments required until 31 December 2016	1 January 2017
Schedule 3	Amendments to CPC for Level E and new Voting requirements	1 January 2017
Schedule 4	New schedule added	1 January 2017
6	Consequential amendments arising from organisational design change	21 June 2017



<b>Provision</b>	<b>Amendment</b>	<b>Commencing</b>
6; related documents	Updating references to <i>University of Sydney (Delegations of Authority – Administrative Functions) Rule 2016</i>	21 June 2017
Last amended date	Correcting typographical error	21 June 2017

## SCHEDULE 1

### MINIMUM STANDARDS REQUIRED FOR ACADEMIC PROMOTION

The following definitions apply in this schedule.

<b>Exceptional</b>	Demonstrates highly significant achievements and contributions, which already well exceed the minimum criteria applicable to the level to which promotion is being sought
<b>Outstanding</b>	Demonstrates achievements and contributions which already clearly meet the minimum criteria for the level to which promotion is being sought
<b>Superior</b>	Demonstrates highly significant achievements and contributions at the level at which the applicant is currently classified
<b>Satisfactory</b>	Demonstrates achievements and contributions at the level at which the applicant is currently classified/

### TEACHING AND RESEARCH STREAM – Minimum required standards

Promotion sought	Teaching standard	Research standard	Governance, Leadership & Engagement standard	Comment
Level A to Level B; Level B to Level C; Level C to Level D.	Superior or Outstanding	Superior or Outstanding	Superior	At least one Outstanding in either Teaching or Research is required
Level D to Level E	Outstanding	Outstanding	Outstanding (from 1 January 2017)	N/A

### EDUCATION-FOCUSSED STREAM – Minimum required standards

Promotion sought	Teaching standard	Research standard	Governance, Leadership & Engagement standard	Comment
All	Exceptional	Superior or Satisfactory	From 1 January 2017: Superior is required	Satisfactory is allowable in Research



**RESEARCH-FOCUSSED STREAM – Minimum required standards**

<b>Promotion sought</b>	<b>Teaching standard</b>	<b>Research standard</b>	<b>Governance, Leadership &amp; Engagement standard</b>	<b>Comment</b>
All	Superior or Satisfactory	Exceptional	From 1 January 2017: Superior is required	Satisfactory is allowable in Teaching

## SCHEDULE 2

### LOCAL PROMOTIONS COMMITTEES TERMS OF REFERENCE AND OPERATION

#### TERMS OF REFERENCE

- (1) LPCs will assess faculty applications for academic promotion.
- (2) LPCs will not act as advocates for such applications.
- (3) Having assessed the applications before them, LPCs will vote on each application and recommend successful candidates for promotion

#### CONSTITUTION

##### LPC for Levels B- D inclusive

- (1) An LPC for promotion to Levels B –D inclusive will consist of at least **five and no more than seven core members**, plus one additional member, as follows:
  - (a) Chair, being a dean of one of the participating faculties or a nominee approved by the Provost;
  - (b) three members, from at least two different faculties, including one member from the applicant's faculty;
  - (c) one Academic Board nominee; and
  - (d) up to two other members in exceptional circumstances, from two different faculties.
- (2) LPCs with five or six core members must include at least two male and two female members, excluding the Academic Board nominee. LPCs with seven core members must include at least three male and three female members, excluding the academic board nominee.
- (3) Where extenuating circumstances prevent compliance with clause (2) above, any variance to gender representation will require approval from the Provost.
- (4) An LPC may only be convened for a single faculty:
  - (i) if there are at least six applications at any one level; and
  - (ii) at least two of the members in clause (1) (b) above are from outside the applicants' faculty.
- (5) Where a faculty has fewer than six applications it must form a joint LPC with one or more other faculties.
- (6) If a joint LPC has fewer than six applications, the LPC Chair must seek Provost approval to proceed.
- (7) Where Provost approval is not obtained, clause (5) above will apply.
- (8) The Provost may direct an LPC with fewer than six applications to;
  - (a) proceed as constituted; or

- (b) combine with another faculties as directed.
- (9) Each LPC must have a **reserve core member**. If the reserve core member is called upon to replace the Academic Board nominee, the reserve core member may do so even if they are not themselves on the list of Academic Board nominees.
- (10) Each LPC must also have **one additional member** (plus **one reserve additional member**) specific to individual applications, who will have expertise in the applicant's general field. These members will be appointed by the Chair, in consultation with the relevant Heads.
- (11) Except with the authorisation of the Provost, members of the LPC must be of academic rank equal to or higher than the grade to which applicants under consideration are seeking promotion.

### LPC for Level E

- (1) An LPC for promotion to Level E will consist of **at least six and no more than eight core members** as follows:
  - (a) Chair, being a dean of one of the participating faculties, or a nominee approved by the Provost;
  - (b) normally four and no more than six professors from at least two different faculties; and
  - (c) one Academic Board nominee.
- (2) LPCs with six core members must include at least two male and two female members, excluding the Academic Board nominee. LPCs with seven or eight core members must include at least three male and three female members, excluding the Academic Board nominee.
- (3) Where extenuating circumstances prevent compliance with clause (2) above, any variance to gender representation will require approval from the Provost.
- (4) An LPC may only be convened for a single faculty if there are at least six applications.
- (5) Where a faculty has fewer than six applications, it must form a joint LPC with one or more other faculties.
- (6) If a joint LPC has less than six applications, the LPC Chair must seek Provost approval to proceed.
- (7) Where Provost approval is not obtained, clause (5) above will apply.
- (8) The Provost may direct an LPC with fewer than six applications to;
  - (a) proceed as constituted; or
  - (b) combine with another faculties as directed.
- (9) Professors external to the University may sit on an LPC for promotion to Level E if it is considering applications from a small faculty without a large professoriate (whether it is considering applications from a single faculty or multiple faculties).
- (10) The individual who completed the Teaching and Research Supervision Activities data verification report for the applicant may sit as a core member of an LPC at this level.

- (11) The LPC must have a **reserve core member**. If the reserve core member is called upon to replace the Academic Board nominee, the reserve core member may do so even if they are not themselves on the list of Academic Board nominees.
- (12) Each LPC must also have **one additional member** (plus **one reserve additional member**) specific to individual applications, who will have expertise in the applicant's general field. These members will be appointed by the Chair, in consultation with the relevant Heads of School.

## MEETINGS

### Quorum

The quorum for any meeting of an LPC for promotion to Levels B – D inclusive is five, being either five core members or four core members plus the reserve core member.

The quorum for any meeting an LPC for promotion to Level E is seven, being either seven core members or six core members plus the reserve core member.

### Number of meetings

- (1) The LPC will meet twice for applications for Levels B –D:
  - (a) a preliminary meeting; and
  - (b) a final meeting
- (2) The LPC will meet once to consider applications for Level E.

### Format of meeting

- (1) Preliminary meetings may be held in person or by circulation.
- (2) Final meetings, and meetings considering applications for Level E, must be held in person.
- (3) With the consent of the Chair, the additional member, (but not other members), may attend any meeting by telephone, video link or similar arrangement.
- (4) With the consent of the Chair, the applicant may be interviewed by telephone, video link or similar arrangement.

### Voting

- (1) All core members present must vote on each application.
- (2) Additional members are not entitled to vote and must not be present when votes are taken.
- (3) Each core member's vote must be declared. Voting must not be done by secret ballot.
- (4) No applicant may be recommended for promotion unless the number of votes in favour of promotion is at least twice the number of votes against.

## SCHEDULE 3

### CENTRAL PROMOTIONS COMMITTEES TERMS OF REFERENCE AND OPERATION

#### TERMS OF REFERENCE

- (1) CPCs will review the operation and reports of LPCs in applications for promotion to Levels C –E inclusive.
- (2) CPCs will be guided by the advice of the LPCs but will make the final recommendation for or against promotion.
- (3) CPCs will ensure that standards for promotion to senior academic ranks are consistent and equitable across the University.

#### CONSTITUTION

##### CPC for Levels C and D

- (1) A CPC for promotion to Levels C or D will consist of:
  - (a) a Chair, being the Provost or nominee (*ex officio*)
  - (b) the Chair of the Academic Board or nominee (*ex officio*)
  - (c) one senior academic from another university, nominated by the Provost
  - (d) three members of the University's academic staff, nominated by the Provost
  - (e) three members of the University's academic staff, nominated by the Chair of the Academic Board
- (2) The CPC must include at least three male and three female members, excluding the Chair.
- (3) Where extenuating circumstances prevent compliance with clause (2) above, any variance to gender representation will require approval from the CPC Chair.
- (4) There must also be **two reserve members**, being members of the University's academic staff nominated jointly by the Provost and the Chair of the Academic Board.
- (5) Members other than *ex officio* members should not serve for more than three consecutive years.
- (6) Individuals may not serve as members of a CPC if they have also been members of an LPC considering applications for promotion to the same level.
- (7) Where available a representative from the equity and diversity strategy centre should be present for the scheduled CPC meeting.

##### CPC for Level E

- (1) A CPC for promotion to Level E will consist of:
  - (a) a Chair, being the Vice-Chancellor or nominee (*ex officio*)
  - (b) the Provost or nominee (*ex officio*)
  - (c) the Chair of the Academic Board or nominee (*ex officio*)



- (d) two deans, nominated by the Provost
  - (e) One senior academic from another university, nominated by the Vice-Chancellor
  - (f) Three professors, nominated by the Chair of the Academic Board
- (2) The CPC must include at least three male and three female members.
  - (3) Where extenuating circumstances prevent compliance with clause (2) above, any variance to gender representation will require approval from the CPC Chair.
  - (4) There will be **two reserve members**, being members of the University's professoriate, nominated by the Chair of the Academic Board.
  - (5) Members other than *ex officio* members should not serve for more than three consecutive years.
  - (6) Individuals may not serve as members of a CPC if they have also been members of an LPC considering applications for promotion to the same level.
  - (7) Where available a representative from the equity and diversity strategy centre should be present for the scheduled CPC meeting.

#### **Voting**

- (1) Each member's vote must be declared. Voting must not be done by secret ballot.
- (2) No applicant may be recommended for promotion unless the number of votes in favour of promotion is at least twice the number of votes against.

## SCHEDULE 4

### “OUT OF ROUND” OOR PROMOTIONS COMMITTEES

#### TERMS OF REFERENCE AND OPERATION

##### TERMS OF REFERENCE

- (2) The OOR committee will assess the submission as expeditiously as possible.
- (3) The OOR committee will apply the standards and criteria for the applicable position specified in this policy and the procedures.

##### CONSTITUTION

###### OOOR committees for Levels C and D

- (A) A OOR committee for promotion to Levels C or D will consist of:
  - (a) a Chair, being the Provost or nominee (*ex officio*)
  - (b) the Chair of the Academic Board or nominee (*ex officio*)
  - (c) the relevant Dean or nominee

###### OOOR committee for Level E

- (B) A OOR committee for promotion to Level E will consist of:
  - (d) a Chair, being the Provost or nominee (*ex officio*)
  - (e) the Chair of the Academic Board or nominee (*ex officio*)
  - (f) a nominee of the Provost who is a senior member of the University
  - (g) the relevant Dean or nominee
- (4) Where the originator of the submission would otherwise sit on the committee, a nominee must be appointed.

##### Voting

- (1) The OOR committee may adopt a unanimous recommendation by circulation. Otherwise a meeting must be held, at which a submission will be recommended if supported by a simple majority of votes.
- (2) The Academic Promotions Unit will forward the recommendation to the relevant delegate.
- (3) Where promotion is recommended and approved, only one offer may be made.
- (4) No appeal is available from an “out of round” promotion submission.