ACADEMIC PROMOTIONS PROCEDURES 2015

Issued by: The Provost and Deputy Vice-Chancellor

Date: 16 December 2015

Last amended: 19 January 2017 (administrative amendments)

Signature:

1   Purpose and application

(1)   These procedures are to give effect to the *Academic Promotions Policy 2015* ("the **policy**").

(2)   These procedures apply to:

    (a)   all academic staff employed by the University on a continuing or fixed term contract basis; and

    (b)   all applications for promotion of such academic staff.

2   Commencement

These procedures commence on 1 January 2016

3   Interpretation

(1)   Words and phrases used in these procedures and not otherwise defined in this document have the definitions they have in section 6 of the policy.

(2)   In relation to clause 4 of these procedures:

ERA	means *Excellence in Research Australia,* a report on research activity in Australian higher educational institutions compiled annually by the Australian Research Council.
will	means that staff at the relevant level are expected to meet this requirement.

may	means that some but not all staff at the relevant level would meet this requirement.
will normally	means that staff at the relevant level are expected to meet this requirement, but that compelling reasons in individual cases or the requirements of specific disciplines may mean that it is not met.
will, where appropriate	means that staff at the relevant level are expected to meet this requirement where it is appropriate to their discipline.

4 Normative criteria for performance at each academic level

(1) **All academic staff** are expected to have the following generic attributes and responsibilities:

    (a) will normally hold a relevant higher degree for appointment at Level A;

    (b) will normally hold a PhD or other higher professional qualifications appropriate to their discipline for appointment at Level B or above;

    (c) will develop expertise in either or both of teaching and research with an increasing degree of autonomy (for example, through enrolment in appropriate courses or workshops);

    (d) will carry out the duties assigned to them under their school or faculty workload provisions, as appropriate to their academic level;

    (e) will be actively engaged in research and scholarship;

    (f) will disseminate their knowledge and expertise in education and their research skills as appropriate to their role and academic level;

    (g) will be involved in both formal and informal staff mentoring programs;

    (h) will engage in continuing professional development;

    (i) will be institutionally engaged as a member of the University community through participation in committees, administrative duties and governance at any or all of school, faculty or University level, as appropriate to their role and academic level;

    (j) will interact with staff and students in a professional and collegial manner;

    (k) will seek to engage with the wider community where appropriate;

    (l) will, where appropriate, engage in translational research with a view to establishing strong partnerships with outputs such as commercialisation, improved practice and policy development;

    (m) will seek to use their expertise to inform the general public or engage in public debate on key issues of public importance, where appropriate and consistent with University policy.

(2) **Staff in education-focussed roles** are expected to:

    (a) devote most of their effort to excellence in, and contribution to, teaching;

    (b) contribute to research in either their discipline or the pedagogy of their discipline;

    (c) be building (at junior levels) and to have achieved (at senior levels) national and international reputations for their contributions to pedagogical issues within their discipline and more broadly; and

(d)   to have a record of success in competitive grant applications or teaching awards.

(3)   **Staff in research-focussed roles** are expected to:

(a)   devote most of their effort to research in their discipline;

(b)   participate in teaching through supervision and instruction of postgraduate students, interaction with honours students or limited instruction to undergraduate students;

(c)   be building (at junior levels) and to have achieved (at senior levels) national and international reputations for their research;

(d)   to have a record of success in competitive external grant applications.

(4)   **Level A staff:**

(a)   will undertake administration primarily relating to their activities;

(b)   may supervise research students at undergraduate level;

(c)   may be mentored in a formal University mentoring program;

(d)   will normally work under supervision of staff at Level B or above, with an increasing degree of autonomy as they gain skill and experience;

(e)   will normally conduct research or scholarly activities under limited supervision either independently or as a member of a team;

(f)   may, where appropriate, be involved or mentored in translational research with a view to external collaboration and establishing partnerships with outputs such as commercialisation, improved practice and policy.

(5)   **Level B staff:**

(a)   will contribute to any or all of research, scholarship or teaching, either independently or as part of a team, through professional practice and expertise;

(b)   will co-ordinate or lead the activities of other staff as appropriate to their discipline;

(c)   will be involved in evaluating teaching and learning, both at the program level and in relation to their own practice;

(d)   will engage in scholarly development and engagement in their subject area;

(e)   may be engaged in research evaluation and in the assessment of their own research practice through participation within the University or their discipline, whether as reviewer or subject of review;

(f)   may have experience in education-related scholarly activities, which have resulted in demonstrated improvements in teaching quality or education outcomes, or successful outcomes in research supervision;

(g)   may be involved in training in either or both of pedagogical skills or research;

(h)   may be required to perform the full academic responsibilities, and related administration, of co-ordination of a unit of study within a faculty, consistently with the faculty's workload provisions;

(i)   may be mentored in a formal University mentoring program;

(j)   will be an informal mentor for other staff at Levels A or B;

(k)   will normally contribute to teaching at honours, undergraduate and postgraduate level in units of study or through research supervision;

(l)   will normally demonstrate evidence of competitive grant applications within the University or externally, either individually or as part of a team;

(m)   will, where appropriate, participate in continuing professional development (for example through seminars or conferences);

(n)   may, where appropriate, be involved or mentored in translational research with a view to external collaboration and establishing partnerships with outputs such as commercialisation, improved practice and policy.

(6)   **Level C staff**:

(a)   will make independent and original contributions to scholarship within their discipline and will disseminate these among colleagues;

(b)   will be acknowledged at national level as influential in:

    (i)   expanding knowledge within their discipline; or

    (ii)   pedagogical and curriculum issues;

(c)   will be able to demonstrate a strong record of:

    (i)   research;

    (ii)   scholarly activities relating to their discipline; or

    (iii)   teaching or teaching practices;

(d)   will disseminate knowledge to benefit and promote good practice in their faculty and the University, in learning and teaching or research and research training;

(e)   will provide leadership with a significant impact on their faculty or school in:

    (i)   teaching, teaching innovation or curriculum development; or

    (ii)   research training and supervision.

(f)   will contribute to academic or professional journals on issues relevant to their discipline or contribute more broadly as appropriate to their discipline. A premium may be placed on ERA recognised contributions;

(g)   will demonstrate evidence of competitive grant applications within the University or externally;

(h)   will contribute to governance in their school or faculty or the University, through activities such as participation in committees, membership of the Academic Board or administrative roles in centres or institutes;

(i)   may be pursuing education opportunities to enhance their expertise and professionalism in higher education;

(j)   may be required to perform the full academic responsibilities, and related administration, of co-ordination of a large unit of study or award program or a number of small award programs, consistently with the faculty's workload provisions;

(k)   may be mentored in a formal University mentoring program and will be an informal mentor for other staff at Level C or below;

(l)   may be a formal mentor for staff at Level C or below;

(m)   may contribute to the University's work of community and alumni engagement;

(n)   may contribute their expertise and knowledge to broader forums of public debate, consistently with University policy;

(o)   will normally make a significant contribution to any or all of the research, scholarship, teaching or administration activities of an organisational unit or interdisciplinary area at undergraduate honours or postgraduate level;

(p)   will normally play a major role or provide a significant degree of leadership in scholarly, research or professional activities relevant to any or all of their profession, discipline or community;

(q)   may, where appropriate, be involved or mentored in translational research with a view to external collaboration and establishing partnerships with outputs such as commercialisation, improved practice and policy.

(7)   **Level D staff:**

(a)   will have attained and maintained recognition at national or international level in their discipline;

(b)   will make:

    (i)   original and innovative contributions to their field of study or research, which are recognised as outstanding nationally or internationally; or

    (ii)   original contributions to teaching, such as contributions to national efforts to enhance curriculum and providing high quality learning experiences in their discipline;

(c)   will demonstrate engagement in publications and scholarly dissemination appropriate to their discipline. A premium may be placed on ERA recognised contributions;

(d)   will have a sustained record of effective leadership of either or both of:

    (i)   teaching teams (in curriculum design, implementation and innovations leading to improvements in student learning); or

    (ii)   research (in fostering the research activities of others, and in research training);

(e)   will demonstrate evidence of capability to lead developments in:

    (i)   education quality, which enhance major aspects of the faculty's operations through program management, curriculum development, faculty and institutional teaching roles (such as Associate Dean, Academic Board, UE Education Committee); or

    (ii)   research, which enhance the reputation of the faculty or University (such as leading participation in internationally-funded research projects);

(f)   will be an informal mentor for other staff at Level D and below;

(g)   will be a formal mentor for staff at Level C or below;

(h)   may be mentored at a formal University mentoring program;

(i)   will normally have evidence of major original and innovative contributions:

    (i)   to curriculum development, which enhance the University's standing as a national leader in education within their discipline; or

    (ii)   to the staff member's field of study or research, which are recognised nationally or internationally as outstanding;

(j)   will normally make an outstanding contribution to governance and collegial life within the University and in community and professional service;

(k)   will, where appropriate, contribute to the University's work of community and alumni engagement;

(l)   will, where appropriate, contribute their expertise and knowledge to broader forums of public debate, consistently with University policy;

(m)   will, where appropriate, assist the University in its development work;

(n)   may, where appropriate, be involved in translational research with a view to external collaboration and establishing strong partnerships with outputs such as commercialisation, improved practice and policy;

(o)   will, where appropriate, mentor and provide opportunities for other researchers to develop skills and engage in translational research.

(8)   **Level E staff:**

(a)   will have achieved and maintained international recognition through original, innovative and distinguished contributions to scholarship and research;

(b)   will have a track record of competitive research grants;

(c)   will have publications in peer-reviewed international journals or creative works recognised under the ERA in their discipline or more broadly;

(d)   will have evidence of recognition within the broader research community, such as membership or editorship of journals, membership of national or international consultative bodies, membership of specialist committees or advisory boards;

(e)   will have evidence of leadership in any or all of curriculum development, program development and management or research and scholarship;

(f)   will have evidence of mentoring colleagues to leadership positions;

(g)   will have evidence of capability to lead development which enhances major aspects of the University's operations and its international reputation in:

    (i)   learning and teaching; or

    (ii)   research and scholarship;

(h)   will make an outstanding contribution to governance and collegial life within and outside the University, for example by chairing school or faculty committees, undertaking significant administrative positions, or participating in or chairing University-level committees;

(i)   will be mentored in a formal University mentoring program;

(j)   will be an informal mentor for other staff at Level D or below;

(k)   will be a formal mentor for staff at Levels E or below;

(l)   will, where appropriate, contribute their expertise and knowledge to broader forums of public debate, consistently with University policy;

(m)   will, where appropriate, assist the University in its development work;

(n)   may, where appropriate, be involved in translational research with a view to external collaboration and establishing strong partnerships with outputs such as commercialisation, improved practice and policy;

(o)   will, where appropriate mentor and provide opportunities for other researchers to develop skills and engage in translational research.

5 Applications for annual promotion rounds

(1) Applications must be submitted electronically to the Academic Promotions Unit using the form specified in the announcement of the opening of applications.

(2) Applications must meet eligibility requirements as set out in section 8 of the policy, including:

    (a) discussing your intent to apply for promotion with the relevant person in the faculty no later than October 31 in the year prior to applying; and

    (b) notifying the Academic Promotions Unit via email (dvc.apu@sydney.edu.au) of the name of the person with whom you had this discussion, by November 30 in that same year.

(3) Applications must comply with all maximum word limits.

(4) Applications must provide:

    (a) information about the applicant's whole career;

    (b) a clear account of achievements and publications since the applicant's last employment or promotion at the University;

    (c) evidence of appropriate upward career trajectory; and

    (d) the names of five referees (Levels B and C) and four referees (Levels D and E) and a statement of the applicant's relationship to each.

(5) Applications for promotion by two levels must:

    (a) set out a strong case for such a promotion;

    (b) include a completed "application for two level promotion form"

    (c) be supported by the relevant Head;

    (d) be approved by the relevant Dean; and

    (e) be provided to the Academic Promotions Unit at least 14 days before the advertised closing date for promotions for the level to which they are applying.;

    (f) the Academic Promotions Unit will seek approval from the Provost and notify the applicant of the outcome.

(6) Applications should:

    (a) provide information sufficient to allow the promotion committees to assess the significance and impact of the applicant's publications or creative works; and

    (b) provide an explanation, if necessary, of any known special circumstances or relevant to opportunity issues that have affected the applicant's opportunity to meet the requirements for promotion

6 Submissions for "out of round" promotion

(1) Submissions for "out of round" promotion may be initiated by any of the following,

    (a) a head;

    (b) a Dean;

    (c) a Director;

     (d)   the Provost; or

     (e)   Vice Chancellor.

(2)   Where a submission is prepared by the relevant Head it must be endorsed by the relevant Dean, and submitted to the Academic Promotions Unit.

(3)   "Out of Round" promotion committees will be constituted and have the terms of reference and operation, as specified in Schedule 4 of the policy.

(4)   The relevant committee will assess the submission as expeditiously as possible applying the standards and criteria for the applicable level specified in the policy and these procedures.

(5)   Submissions must contain:

     (a)   where applicable the application for employment originally made by the candidate to the other institution offering the staff member employment;

     (b)   the referee details which were part of that application;

     (c)   if the "out of round" submission is based on a case for retention and an offer from another institution has not been made, the names of at least three referee details must be provided;

     (d)   a clear statement of the case including:

          (i)   documenting evidence to support achievement of the minimum standards required for promotion to the relevant level in all three areas of teaching, research and governance, leadership, engagement;

          (ii)   reasons for retaining the staff member;

          (iii)   promoting the staff member to the desired level; and

          (iv)   doing so "out of round".

(6)   Where a submission for an "out of round" promotion is received on behalf of an candidate who has a current promotion application already in process, the following materials will be used to assess the application"

     (a)   the "out of round" submission prepared by the relevant delegate;

     (b)   the application for promotion already received; and

     (c)   the assessor and referee reports already received.

(7)   The relevant committee will consider the" out of round" promotion in accordance with policy if the original application:

          (i)   has not been considered by a final LPC meeting;

          (ii)   has been considered by a final LPC meeting and the recommendation was to not promote;

          (iii)   is for Level D or E and has not had a preliminary CPC vote; or

          (iv)   is for Level D or E and the preliminary CPC vote is not to promote.

(8)   Within 2 days of receipt of the submission, the Chair will circulate the documentation to all members of the committee and will request an electronic response within a nominated time frame.

(9)   The committee may adopt a unanimous recommendation by circulation.

(10)   Unless a unanimous response is received within the nominated time frame, the Chair will call a meeting of the committee; and

          (i)   may invite the candidate to attend a formal interview

(ii)   request additional information which may include further reports

(11)   The committee will vote on the submission which will be recommended if supported by a majority of votes.

(12)   No appeal is available from an "out of round" promotion submission outcome.

(13)   The relevant delegate must approve the OOR promotion if;

     (i)   a final LPC report in favour of promotion has been received in the case of promotion to Level B and C; or

     (ii)   A final LPC report and a preliminary CPC vote recommending promotion has been received in the case of Level D or E.

(14)   Where request for "out of round" promotion is received on behalf of a candidate who has lodged an appeal in relation to the most recent promotion round, documents relating to that appeal must not be made available to the committee members considering the "out of round" promotion.

7   Updates to applications

(1)   Applicants may provide to the LPC an update to their application.

(2)   An update to an application may not exceed one A4 page listing significant additional information arising since lodgement of the application.

(3)   The Academic Promotions Unit will notify applicants of the date when the academic promotions online system will be available for input of the update and due date for any such update.

(4)   Updates must be entered online by each applicant.

(5)   Level D and E applicants (Level C applicants if the application is being considered by a CPC) may enter a second update to their application for consideration by the CPC.

(6)   The Academic Promotions Unit will notify applicants of the date when the academic promotions online system will be available for input of the second update and due date for any such update.

(7)   The second update to application may not exceed one A4 page listing significant additional information of national/international importance arising since consideration of the application at the final LPC meeting (Level D) and interview (Level E).

(8)   Second updates must be entered online by each applicant.

(9)   Applicants may change the stream in which they have sought promotion provided that:

     (a)   they do so by notice in writing to the Academic Promotions Unit; and

     (b)   the notice is received before the application is considered for the first time.

8   Local promotion committees

(1)   For LPCs considering promotions to Levels B and C, the nominated Chair should have had at least three years' experience as a core LPC member in the previous five year period:

(2)   For LPCs considering promotions to Levels D and E, the nominated Chair should have had at least three years' experience as a core member of LPCs considering promotions to the relevant level, or higher.

(3)   To establish an LPC, the chair must provide a list of recommended committee members, including reserves, to the Provost for approval.

(4)   LPC's are constituted and have the terms of reference and operation as specified in Schedule 2 of the policy.

(5)   To ensure continuity of knowledge, experience and to foster leadership and career development, the Chair must request that nominees commit to a membership term of three years where possible.

9   Communications between committees and applicants

(1)   The Academic Promotions Unit will conduct, and keep appropriate records of, all communications between applicants and those considering their applications.

   Note: See the *University Recordkeeping Policy* and *Recordkeeping Manual*.

(2)   Requests from committees for further information from applicants will be communicated to the applicant in writing, through the Academic Promotions Unit.

(3)   Replies to such requests must be provided in writing, within seven days.

(4)   Requests from committees for further information from sources other than the applicant should also be communicated through the Academic Promotions Unit, although this is not always possible. Any such information received by a committee or committee member must be copied to the Academic Promotions Unit.

10   Heads' reports all Levels

(1)   The relevant Head will verify an applicant's teaching and research supervision activities by completing the online Teaching and Research Student Supervision Activities form.

(2)   The Head will consult relevant staff of the school and prepare a confidential written report on each applicant.

(3)   The consultation process would exclude any staff member in the school/department who is also an applicant for promotion to the same level.

(4)   The Head's report must include:

   (a)   the names and positions of the staff who have been consulted;

   (b)   if a staff member who has been consulted objects to being named, then the report should not include the names of any of the staff consulted. The report must instead then list the number of and general description of the positions of staff consulted (for example, three lecturers and two associate professors);

   (c)   views of relevant staff who have been consulted, including divergent views; and

   (d)   comment on the standing of the applicant's referees (all Levels) and assessors (Levels D and E only).

   (e)   Unsuccessful applicants will receive a copy of the Heads report.

11 Referees' reports

(1) The Academic Promotions Unit will contact nominated referees to request that they complete a reports online.

(2) Referees should where possible hold a higher academic rank than that of the applicant.

(3) The list of referees should include at least two who are external to the applicant's faculty.

(4) Unless applying in the research-focussed stream, applicants must nominate at least one referee who is familiar with and can comment on their teaching.

(5) Referees' reports should address:

    (a) the nature and duration of the referee's association with the applicant;

    (b) the referee's view of the applicant's standing in their field at a national and, if appropriate, international level;

    (c) some of the applicant's notable achievements or contributions in any or all of research, teaching or governance, leadership and engagement; and

    (d) the referee's assessment of the applicant's career trajectory, with reference to the normative criteria for the relevant academic rank.

12 Assessors' reports

(1) The Academic Promotions Unit will contact assessors to request that they complete a report online which addresses:

    (a) any association between the assessor and the applicant;

    (b) the assessor's opinion of the applicant as a scholar in their field;

    (c) details of the applicant's achievements in their field;

    (d) whether the applicant has published in well reputed journals;

    (e) the assessor's view of the value of the applicant's publications; and

    (f) an assessment of the applicant's career trajectory in light of the normative criteria.

(2) Assessors' reports must be provided within 21 days of request.

13 Procedure for LPC preliminary meetings for promotions below Level E

(1) LPC preliminary meetings for promotions below Level E may be held face-to-face or by circulation.

(2) For all such meetings, whether held face-to-face or by circulation:

    (a) each member of the LPC will consider each application in accordance with Section 4 of these procedures and the standards specified in Schedule 1 to the policy;

    (b) particular attention should be paid to applications where special circumstances and relative to opportunity issues have been raised;

(c)   the additional member of the LPC will be asked to comment on each application;

(d)   the LPC will identify any applications which require further information or clarification from the applicant;

(e)   the LPC will agree on the questions of clarification to be put to the applicant, which will be listed in the preliminary report template;

(f)   core members will vote on each application for which no further information or clarification is required;

(g)   applications which receive unanimous support will be recommended for promotion without further consideration;

(h)   applications which do not receive unanimous support or which require further information or clarification from the applicant will be considered at the final meeting;

(i)   requests for further information or clarification from an applicant will be provided to the Academic Promotions Unit, which will collect the information and provide it to the LPC.

(3)   Where the meeting is held face-to-face:

(a)   after discussion core members will vote on applications only where there are no questions of clarification for the applicant;

(b)   voting will take place in the absence of the additional member.

(4)   Where the meeting is held by circulation:

(a)   each member of the LPC will identify any applications in relation to which they require further information or clarification, from either the additional member or the applicant;

(b)   each member of the LPC will forward by email to the LPC Chair:

(i)   the member's questions or requests for the additional member; and

(ii)   the member's questions or requests for each applicant;

(c)   the LPC Chair will collate questions and requests to relevant additional members and request a response via email;

(i)   the additional member will provide their comments, and answers to any questions or requests, by email the LPC Chair;

(ii)   the LPC Chair will provide the LPC members with the responses received from the additional members no later than 7 days prior to the final meeting.

(d)   the Chair will collate the questions and requests for information from LPC members in regards to applicants and provide them to the Academic Promotions Unit;

(i)   the Academic Promotions Unit will seek responses from applicants and provide these to the LPC Chair for circulation to the committee at least 7 days prior to the final meeting.

(e)   the Chair will circulate to all members of the LPC a list of applicants from whom no further information or clarification is required;

(i)   formal voting on these applications will be undertaken by means of each core member completing a voting sheet for preliminary meetings and forwarding this sheet to the Chair;

(f)   the Chair will collate the voting sheets and inform each member of the LPC of the outcome of the voting.

14   Procedure for LPC final meetings for promotions below Level E

(1)   The additional member will be asked to comment on an application under consideration.

(2)   The committee will consider and discuss each application, including

    (i)   responses received from additional members to LPC core member questions of clarification; and

    (ii)   responses received from applicants to LPC members questions of clarification; and

    (iii)   application updates; and

    (iv)   special circumstances or relative to opportunity issues that have been raised.

(3)   The core members of the committee will vote on each application.

(4)   Voting will take place in the absence of the additional member.

15   Procedure for LPC meetings for promotions to Level E

(1)   The committee will interview the applicant.

    (a)   Wherever possible, interviews should be conducted in person.

    (b)   The LPC Chair may approve interviews being held by other means, provided that the applicant and all committee members are able to interact at the same time.

    (c)   The Academic Promotions Unit will inform the applicant as soon as possible if it is decided to conduct an interview otherwise than in person.

(2)   The committee will consider and discuss each application, including any additional information or application updates that have been provided.

(3)   Particular attention should be given to applications where special circumstances or relative to opportunity issues have been raised.

(4)   The core members of the committee will vote on each application.

(5)   Voting will take place in the absence of the additional member.

16   LPC Committee reports

(1)   LPC Committee reports must be prepared using the form supplied for this purpose by the Academic Promotions Unit.

(2)   The reports must be submitted electronically to the Academic Promotions Unit.

(3)   Reports must:

    (a)   note unanimous recommendations for promotion to Levels B or C;

    (b)   provide a detailed commentary in all other cases to explain the basis for each recommendation; and

(c) include information regarding the consideration of any special circumstances or relative to opportunity issues in the assessment of the application; and

(d) provide a detailed commentary on each application for promotion to Level D or E, regardless of the recommendation.

17   Procedure for CPC meetings

(1) Prior to the CPC meeting, the Academic Promotions Unit will ask each CPC member to provide a preliminary vote on each application.

(2) The Academic Promotions Unit will tabulate the preliminary votes and make the tabulation available to the CPC at its meeting.

(3) The CPC will consider:

(a)   the LPC report;

(b)   the application;

(c)   any updates to, or further information provided in relation to the application;

(d)   head's reports;

(e)   referees' reports; and

(f)   assessor's reports.

(4) After discussion, the committee will vote on each application.

18   Titles consequent upon promotion

(1) Successful applicants for promotion to Level E may select a professorial title in an appropriate specific field.   The selected title must be endorsed by the relevant Dean and approved by the Vice-Chancellor.

(2) Successful applicants for promotion will otherwise have the titles specified in Schedule 1.

19   Appeals

(1) The only basis for appeal against an academic promotion decision is if:

(a)   there has been a significant breach of the 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) Potential appellants should:

(a)   within 14 days of receiving notice of the outcome of their application, meet with the relevant LPC Chair and at least one of:

(i)   the relevant Head;

(ii)   the relevant Associate Dean (or equivalent);

(iii)   the Dean;

and

(b) within a further seven days, meet with the CPC Chair (if the application was considered by a CPC);

and

(c) within a further seven days, submit a formal appeal if they still intend to proceed.

(4) Appeals will be determined by:

(a) the Provost, for applications for promotion to Levels B or C; or

(b) the Vice-Chancellor, for applications for promotion to Levels D or E.

(5) Appeals must be submitted by letter, and no further materials may be submitted after the appeal is lodged.

(6) If the Vice-Chancellor chaired a CPC the subject of an appeal, the Vice-Chancellor will nominate a Deputy Vice-Chancellor to consider the appeal.

(7) In deciding an appeal, the decision maker will have regard to:

(a) the applicant's letter setting out the basis of the appeal;

(b) the application for promotion;

(c) reports submitted by referees, Heads or assessors, as applicable;

(d) LPC report;

(e) CPC recommendation, if applicable; and

(f) any other information expressly sought by the decision maker.

(8) The decision maker will determine only the issues stated in subclause 18(1), and will not reassess the application for promotion.

(9) If the appeal is upheld, the application will be reconsidered in accordance with the provisions of this policy.

(a) The application will be reconsidered by the LPC and CPC which originally considered it.

(b) Committee members whose conduct has constituted the basis of the appeal must not participate in the reconsideration.

(c) If fewer than three quarters (to the nearest whole number) of an original committee is available, reserve committee members will be used. If, including reserve members, there are still fewer than three quarters (to the nearest whole number) of an original committee available, the Chair will appoint the required number of new committee members.

(d) The reconsidering committee(s) will refer to the information originally considered plus any additional information related to the appeal.

(e) The reconsidering committee(s) will apply this policy and its associated procedures, resulting in a recommendation to the relevant delegate as to whether or not the applicant should be promoted.

If the appeal is not upheld, the application will not be reconsidered and no further appeal will be entertained.

NOTES

Academic Promotions Procedures 2015

Date adopted: 16 December 2015

Date commenced: 1 January 2016

Administrator: Provost

Review date: 16 December 2020

Related documents: *Academic Promotions Policy 2015*

University Recordkeeping Policy

Recordkeeping Manual

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AMENDMENT HISTORY

Provision	Amendment	Commencing
6	Clarification to "out of round" procedures	1 April 2016
4(7)(e)(i)	Changing references to Senior Executive Group (SEG) to University Executive (UE)	26 October 2016
3(1)	Minor amendments to improve readability	1 January 2017
5(2)	New clause added	1 January 2017
4(d)	Clarification to referee levels	1 January 2017
5(b)	New subclause added	1 January 2017
5(d)	Reference to Provost removed	1 January 2017
5(f)	New subclause added	1 January 2017
5(6)(b)	Minor amendment for clarification	1 January 2017
6	Amendments throughout to claify the process for out of round promotions	1 January 2017
7	Amendments throughout to claify the process for updating applications	1 January 2017
8(4)	Note amended to subclause and following clause renumbered	1 January 2017
9	Refrence to Level E in heading removed and minor amendments to process in 9(2), 9(4)(d) and 9(4)(e)	1 January 2017
10(1)	Minor amendment to process	1 January 2017
11(1)	Minor amendment to process	1 January 2017

Provision	Amendment	Commencing
12(2)(a), 12(2)(b), 12(2)(e)	Minor amendments and new subclause at (b)	1 January 2017
12(3)-12(4)	Amendments to clarify process for LPC preliminary meetings	1 January 2017
13(2)-(4)	Amendments to clarify process for LPC final meetings	1 January 2017
14(2)-(5)	Amendments to clarify process for LPC meetings	1 January 2017
15(3)(c)	New subclause added and subsequent subclause renumbered	1 January 2017
16(3)(d)	New subclause added and subsequent subclauses renumbered	1 January 2017
17	Previous clauses "Procedure for "out of round" committee meetings" deleted and subsequent clauses renumbered	1 January 2017
19	New clauses "Appeals" added	1 January 2017
10 – 19	Correction to numbering. Previously there were two clause 9. This has been corrected and clauses 10 – 19 renumbered accordingly	30 January 2017

SCHEDULE 1

PERSONAL AND POSITIONAL TITLES

	Substantive Position			
	Teaching & Research		Research Only	
	Promotion Category			
	Teaching & Research; Education Focused or Research Focused		Teaching & Research; Education Focused or Research Focused	
	Position Title	**Personal Title**	**Position Title**	**Personal Title**
Level B	Lecturer	As per personal status (Dr, Ms, Mrs, Mr, etc.)	Research Fellow or Lecturer	As per personal status (Dr, Ms, Mrs, Mr, etc.)
Level C	Senior Lecturer	As per personal status (Dr, Ms, Mrs, Mr, etc.)	Senior Research Fellow or Senior Lecturer	As per personal status (Dr, Ms, Mrs, Mr, etc.)
Level D	Associate Professor	Associate Professor	Principal Research Fellow or Associate Professor	Associate Professor
Level E	Professor or Professor in a specific field, as requested by the candidate, endorsed by the Dean and approved by the Vice-Chancellor	Professor	Professorial Research Fellow or Professor in a specific field, as requested by the candidate, endorsed by the Dean and approved by the Vice-Chancellor	Professor