



ACADEMIC PROMOTIONS POLICY

This document should be read in conjunction with the Committee Procedures for LPC and CPC Committees, the Guidelines for Applicants and LPC Meetings and the University's Code of Conduct

1 Purpose

- 1.1 The University is committed to attracting, rewarding and retaining staff of outstanding quality who perform in ways that contribute to its reputation nationally and internationally. High performing academic staff are the cornerstone of the University and a range of strategies are available to appropriately recognise, reward and retain these staff
- 1.2 Promotion is one of these strategies. Other options include additional remuneration (such as market loadings and performance bonuses), employment flexibility, and research support. In some cases, these options will be a more appropriate way of recognising the contributions of particular staff or their market value.

2 Principles

- 2.1 The University of Sydney is a research-intensive comprehensive University. Consistent with the definition of a university, we recognise the mutual interaction of teaching, research and learning at all levels within the University. As a consequence, we expect that during their career all members of academic staff will be active in research and scholarship, as well as committed to and participate in high quality, research-enriched teaching.
- 2.2 The University recognises that members of staff do not have identical opportunities to engage in the full range of academic activities. Thus academic roles at the same level of appointment will be constructed in different ways. However, the University considers teaching and research as its core activities and also expects that all staff contribute to the overall work of their School.
- 2.3 Each member of academic staff has responsibility for setting and maintaining high standards in respect of:
 - Knowledge of their academic subject area;
 - Contribution to teaching and learning;
 - Contribution to research and scholarship;
 - Service to their discipline, the community and the University.
- 2.4 While all members of academic staff are expected to make contributions to these areas, it is recognised that the weighting of these contributions may vary over the course of a career. Accordingly the University of Sydney recognises that academic careers may fall along a spectrum of roles ranging from education-focused at one end, through to research-focused at the other, and including the traditional teaching and research role in the middle.
- 2.5 Each academic staff member will be appointed to a position at a particular academic level (from A-E). While appointed to this position the roles undertaken by an individual member of staff may vary over time and there may be movement between different roles, either while the staff member is within one career level, or across different levels in the course of a career.

- 2.6 The normative criteria set out in Section 3 below are intended to provide guidance about the University's expectations about achievement at each level of academic employment. Staff considering promotion need to consider the criteria for the level to which they seek promotion and need to ensure that they have achievements commensurate with that level.
- 2.7 Movement between different roles is to be decided on a prospective basis through discussion between an individual staff member and his/her Head of Discipline, Department or School or, where appropriate, Dean, Pro-Dean, Deputy-Dean or Associate Dean. A staff member seeking to move from one role to another may be required to demonstrate competencies appropriate to the proposed role.
- 2.8 While applicants are required to provide information concerning their whole career, it is essential that they provide a clear account of achievements and publications since their last appointment or promotion at this University, and evidence of an upward trajectory in performance that would warrant promotion to the next level.
- 2.9 In exceptional circumstances applicants applying for promotion below Level E may seek to be promoted two levels. To justify this the applicant must put forward a strong case outlining the reasons for seeking such a promotion. The application requires the support of the applicant's Head of School and approval by the relevant Dean and the Provost. Approvals must be obtained at least two weeks prior to the relevant closing date for applications.
- 2.10 Applications for promotion are called for annually in the first half of the year, however some Faculties may elect to hold a second round in the second half of the year for promotions below Level E. In special circumstances, 'out of round' promotions may be considered. (Refer to out of rounds policy at *Policy Online*).
- 2.11 The effective date of the promotion is 1 January of the following year, except in the case of 'out of round' promotions, which take effect immediately.
- 2.12 Assessment of applications for promotion is made by a committee of peers through a process designed to enable fair and consistent application of absolute indicators of academic performance, benchmarked across disciplines and against institutions of similar international standing. The assessment process reflects the University's commitment to the principles of equity, equal opportunity, privacy and confidentiality.
- 2.13 The committees assessing applications are the Local Promotion Committee (LPC) (for all levels) and the Central Promotion Committee (CPC) (Levels D and E, and Level C where an LPC has considered applications from only one faculty).
- 2.14 The level of remuneration associated with any promotion will be a matter for consideration by the relevant delegated officer. The minimum will be Step 1 of the new level of appointment and staff can generally expect to be appointed to this step. A higher step may be appropriate where a staff member is currently receiving remuneration in excess of Step 1 or where special circumstances exist, and this might be based on a recommendation of the LPC or CPC.
- 2.15 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.
- 2.16 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 other ground. Anyone involved with a promotion application should maintain an awareness of due process and equity. Failure to do so may lead to an unfair decision and appeals action.
- 2.17 Promotion committees should ensure that each applicant's achievements are assessed relative to opportunity. Factors which may affect opportunity include part-time/fractional employment, significant parenting or other caring responsibilities, or clinical responsibilities. In this context, committees need to assess achievements in the context of the applicant's opportunity (in most instances, fewer opportunities) to undertake tasks relative to other members of staff at an equivalent level.

- 2.18 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 Government Information (Public Access) Act 2009. Any committee member who breaches confidentiality will be required to withdraw from the committee and may be subject to disciplinary action.

3 Criteria for appointment

Generic Attributes and Responsibilities

All members of academic staff at all levels and in all roles are normally expected to have the following generic attributes and responsibilities:

- Will normally hold a relevant higher degree for appointment at Level A and will normally have a PhD or other higher professional qualifications or attainments as appropriate to the discipline for any appointments at Level B or above;
- To develop expertise in teaching and/or research with an increasing degree of autonomy e.g. through enrolment in the Graduate Certificate in Higher Education and enrolment in and completion of research-related workshops e.g. HRD supervision, grant writing;
- To carry out the duties assigned under School/Faculty workload policies at a load and in a manner appropriate for a staff member at that level;
- To be actively engaged in research and scholarship;
- To disseminate their knowledge and expertise in education and/or research skills as appropriate for their role and level of appointment;
- To be involved in both formal and informal staff mentoring programs;
- To engage in continuing professional development by pursuing opportunities to enhance their expertise and professionalism;
- To be institutionally engaged as a member of the University of Sydney community through participation in committees, administrative duties and governance at School, Faculty and/or University level as appropriate for the staff member's level of appointment;
- To interact with staff and students in the University in a professional and collegial manner;
- Will seek to engage, where appropriate, with the wider community;
- When appropriate seek to use their expertise to inform the general public or engage in public debate on key issues of public importance, in line with University guidelines on appropriate forms of public comment.

In addition to the above, staff in research-focused or education-focused roles are expected to have the generic attributes and responsibilities outlined below:

Staff in **research-focused** roles will devote most of their effort to research in their discipline. However, it is expected that research-focused staff will participate in teaching through supervision and instruction of postgraduate students, interaction with Honours students or limited instruction to undergraduate students, recognising the inspirational influence of a profound research culture and philosophy on teaching. Performance in research in any academic discipline is traditionally gauged by a range of parameters, including but not limited to quality and extent of peer-reviewed publication record, research income and impact of research. Staff in research-focused roles would be expected to be building (at junior levels) or to have achieved and maintain (at senior levels) national and international reputations for their research and to have a record of success in competitive external grant applications (e.g. ARC, NHMRC).

Staff in **education-focused** roles will be recognised by the excellence and contribution of their teaching, but would normally be expected to contribute to research in either their discipline or the pedagogy of their discipline. Teaching performance is judged primarily against its quality, influence and impact, assessed using both objective measures and the honest and informed opinion of colleagues, peers and students, gathered in a valid and reliable manner. Teaching performance will

include not only effect on student learning, but also leadership and excellence in development of teaching practice and curricula. Teaching quantity alone is no proxy for teaching quality. Staff in education-focused roles would be expected to be building (at junior levels) and to have achieved and maintain (at senior levels) national and international reputations for their contribution to pedagogical issues within their discipline and/or more broadly, and to have a record of success in competitive grant applications (e.g. ALTC) and/or teaching awards.

Normative Criteria for Levels A-E

The normative criteria set out below are intended to provide guidance for academic staff applying for promotion and for promotion committees. The criteria are indicative of the various ways in which staff members seeking promotion may demonstrate achievement at a particular level. Not all criteria will be relevant to all staff and there may be disciplinary differences in the weight attached to individual criteria.

In the following criteria:

- "will" means that staff at the designated level are expected to meet this requirement;
- "may" means that some but not all staff at the designated level would meet this requirement;
- "will normally" means that staff at the designated level are expected to meet this requirement although there may be compelling reasons in an individual case or within the context of a specific discipline why this requirement may not be met;
- "will, where appropriate" means that staff at the designated level are expected to meet this requirement where it is appropriate for their discipline.

Level A:

- Normally works under the supervision of academic staff at Level B or above, with an increasing degree of autonomy as the academic gains skills and experience;
- Normally conducts research/scholarly activities under limited supervision either independently or as a member of a team;
- In the case of education-focused and teaching-and-research staff will be contributing to a program(s) of teaching at undergraduate and graduate diploma level under the supervision of a more experienced member of staff. In the case of research-focused staff, may undertake limited teaching;
- May supervise research students at undergraduate level;
- Undertakes administration primarily relating to staff member's activities at the University;
- May be mentored in a formal University mentoring program.

Level B:

- Will make an independent and/or team contribution to research, scholarship and/or teaching through professional practice and expertise, and co-ordinate and/or lead the activities of other staff, as appropriate to the discipline;
- Will be involved in the evaluation of teaching and learning both at the program level and in respect of one's own practice and/or may be engaged in research evaluation and in the assessment of one's own research practice through participation in peer-review research activities within the University and/or the discipline as a reviewee and/or reviewer;
- Normally contributes to teaching at undergraduate, honours and postgraduate level either teaching in units of study or through research supervision;
- May have experience in education-related scholarly activities, which have resulted in demonstrated improvements in teaching quality and/or education outcomes; and/or should be able to demonstrate evidence of successful outcomes in research supervision;
- Will engage in scholarly development and engagement in their subject area, and where appropriate, participate in continuing professional development (e.g., seminars, conference participation, etc);
- May be involved in training in pedagogical skills and/or research training;

- May be required to perform full academic responsibilities of and related administration for co-ordination of a unit of study within a Faculty consistent with the Faculty's workload policy;
- Will normally demonstrate evidence of competitive grant applications within the University (e.g. TIES, IPDF) or externally (e.g. ARC, NHMRC) either individually or as part of a team;
- May be mentored in a formal University mentoring program and will be an informal mentor for other staff at Levels A and/or B.

Level C

- Will make independent and original contributions to scholarship within the discipline and disseminate these among colleagues;
- Will be acknowledged at national level as influential in expanding knowledge within the discipline and/or of pedagogical and curriculum issues, and standing will normally be demonstrated by a strong record of research and/or scholarly activities relating to the discipline and/or teaching and/or teaching practices;
- Will disseminate knowledge in learning and teaching and/or research and research training to benefit and promote good practice in the Faculty/University (e.g. staff development workshops, invited talks, conferences, working groups, projects);
- Will provide leadership in teaching, teaching innovation and/or curriculum development and/or will provide leadership in research, including research training and supervision, with a significant impact on practice in the Faculty/School;
- Will be contributing to academic and/or professional journals on issues relevant to his/her discipline and/or more broadly or equivalent appropriate to the discipline. A premium may be placed on ERA recognised contributions;
- May pursue education opportunities to enhance their expertise and professionalism in higher education;
- Will normally be expected to make a significant contribution to research, scholarship and/or teaching and administration activities of an organisational unit or interdisciplinary area at undergraduate, honours and postgraduate level;
- Would normally be expected to play a major role or provide a significant degree of leadership in scholarly, research and/or professional activities relevant to the profession, discipline and/or community;
- May be required to perform full academic responsibilities of, and related administration for, coordination of a large unit of study or award program or a number of small award programs, if consistent with the workload policy of the Faculty;
- Will demonstrate evidence of competitive grant applications within the University (e.g. TIES, IPDF) or externally (e.g. ARC, NHMRC);
- Will be contributing to governance in the School, Faculty and/or University e.g. through participation in committees, as a member of the Academic Board, administrative roles in Centres or Institutes;
- May be mentored in a formal University mentoring program and will be an informal mentor for other staff at Levels C and below. May be a formal mentor for staff at Levels C and below;
- May where appropriate contribute to the University's work of community and alumni engagement;
- May, where appropriate, contribute their expertise and knowledge to broader forums of public debate mindful of University guidelines on public comment.

Level D

- Will have attained and maintain recognition at a national or international level in staff member's discipline and is expected to make original contributions to advancement of scholarship, research (will make major original and innovative contributions to staff member's field of study or research, which are recognised as outstanding nationally or internationally) and teaching (contributions to national efforts to enhance curriculum and provide high quality learning experience in discipline

(e.g. lead discipline education group, chair workshops, accreditation visit, expert panels, ALTC team projects));

- Will demonstrate engagement in publications and scholarly dissemination appropriate to the discipline. A premium may be placed on ERA recognised contributions;
- Will have a sustained track record of effective leadership of teaching teams (in curriculum design, implementation and innovation leading to improvements in student learning) and/or in research (in fostering the research activities of others, and in research training);
- Will normally have evidence of major original and innovative contributions to curriculum and pedagogical development which enhance the University's standing as a national leader in education within the discipline and/or major original and innovative contributions to staff member's field of study or research, which are recognised as outstanding nationally or internationally;
- Will demonstrate evidence of capability to lead developments in education quality which enhance major aspects of the Faculty operations through program management, curriculum development, faculty and institutional teaching roles (e.g. Associate Dean, Academic Board, SEG Education Committee) or evidence of capability to lead developments in research which enhance the reputation of the Faculty/University (e.g. leading participation in internationally-funded research projects);
- Will normally be expected to make an outstanding contribution to governance and collegial life inside within the University and community and professional service;
- May be mentored in a formal University mentoring program and will be an informal mentor for other staff at Levels D and below. Will be a formal mentor for staff at Levels C and below;
- Will, where appropriate, contribute to the University's work of community and alumni engagement;
- Will, where appropriate, contribute their expertise and knowledge to broader forums of public debate mindful of University guidelines on public comment;
- Will, where appropriate, assist the University in its development work.

Level E

- Will have achieved and maintained international recognition through original, innovative and distinguished contributions to scholarship and research;
- Will have a track record of competitive research grants (e.g. ARC, NHMRC, ALTC, CRC);
- Will have publications in peer reviewed international journals or creative works recognised under the ERA in the discipline and/or more broadly;
- Will have evidence of recognition within the broader research community e.g. membership/editorship of journal(s); membership of national/international consultative bodies, membership of specialist committees or advisory boards;
- Will have evidence of leadership in curriculum development, program development and management and/or research and scholarship;
- Will have evidence of mentoring of colleagues to leadership positions;
- Will have evidence of capability to lead developments in learning and teaching and/or research and scholarship which enhance major aspects of the University's operations and its international reputation;
- Will make an outstanding contribution to governance and collegial life inside and outside the University by chairing School/Faculty committees, undertaking significant administrative positions (e.g. Associate Dean), participating in/chairing University-level committees;
- Will be mentored in a formal University mentoring program and will be an informal mentor for other staff at Levels D and below. Will be a formal mentor for staff at Levels E and below;
- Will where appropriate contribute to the University's work of community and alumni engagement;
- Will, where appropriate, contribute their expertise and knowledge to broader forums of public debate mindful of University guidelines on public comment;
- Will, where appropriate, assist the University in its development work to support the aims and aspirations of the University.

Promotion Streams and Minimum Standards Required for Promotion

- A. The University of Sydney recognises three streams for promotion: (i) teaching and research; (ii) education-focused; and (iii) research-focused. A staff member may apply for promotion in any stream, regardless of their current role or appointment. However, promotion in a particular stream does not change a staff member's underlying appointment nor the role that they may be expected to fulfil in relation to that appointment.

Teaching and Research Requirements for Promotion

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

Education-Focused Requirements for Promotion

Promotion from - to	Teaching	Research	Service	Total
A-B, B-C, C-D; D-E	Exceptional*	Superior/ Satisfactory**	Superior/ Satisfactory**	1 exceptional (which must be in teaching), at least 1 superior

Research-Focused Requirements for Promotion

Promotion from - to	Teaching	Research	Service	Total
A-B, B-C, C-D; D-E	Superior/ Satisfactory**	Exceptional*	Superior/ Satisfactory**	1 exceptional (which must be in research), at least 1 superior

Applicants must provide evidence of the capacity to perform at the level to which they are seeking promotion and demonstrate an upward trajectory in performance that would warrant promotion to the next level.

* *Exceptional - An applicant whose achievements are Exceptional should demonstrate highly significant achievements and contributions in relation to the criteria at the level for which the applicant is applying.*

** *Outstanding - An applicant whose achievements are Outstanding should demonstrate achievements and contributions which clearly meet the criteria at the level for which the applicant is applying.*

Superior - An applicant whose achievements are Superior should demonstrate highly significant achievements and contributions in relation to the criteria at the applicant's current level.

Satisfactory - An applicant whose achievements are Satisfactory should demonstrate achievements and contributions which meet the criteria at the applicant's current level.

4 Responsibilities and Rights

4.1 Responsibilities of the Heads of School, or, where there is no Head of School, a person nominated by the Dean

- 4.1.1 Heads of Schools or, where there is no Head of School, a person nominated by the Dean (and Supervisors if appropriate) must make themselves available to give confidential advice and other forms of support to potential candidates before they submit a promotion application. Such advice would normally include advice on the prospects of promotion and how to prepare an application.
- 4.1.2 The Head (or nominee) must have a sound knowledge of all facets of the applicant's work relevant to their application for promotion and must:
 - (a) complete and verify the appropriate section of the Teaching and Research Student Supervision Activities Form; and
 - (b) complete a report (Levels B-D) on the applicant.
 - (c) provide guidance to the LPC or CPC on the research and teaching norms expected in their discipline including an assessment of the standard of the mechanisms used for dissemination of research relative to the norms of the discipline.
- 4.1.3 The Head (or nominee) should consult with appropriate members of the School before writing the report and indicate in his/her report:
 - (a) the views of relevant staff in the School, including any divergent views;
 - (b) those staff who have been consulted; and
 - (c) any advice received from relevant staff on the standing of referees.
- 4.1.4 The report is to be discussed by the Head (or nominee) with the staff member. The staff member will be asked to verify that this has been done
- 4.1.5 The Head (or nominee) may not make a written reply to the applicant's response to their report.
- 4.1.6 There is no Head of School report for Level E.
- 4.1.7 Heads or nominees (and Supervisors if appropriate) should also be available to assist in providing guidance to unsuccessful candidates.

4.2 Responsibilities and Rights of the applicant

- 4.2.1 Applicants must lodge their application on line by the relevant closing date.
- 4.2.2 Applicants applying for promotion of two levels must obtain the support of their Head of School (or equivalent) and approval of the Dean and the Provost at least two weeks prior to the closing date for applications for the level to which they are applying.
- 4.2.3 Provide an application that is clear, concise, well structured and readable, indicating those areas of endeavour representing the applicant's particular strengths that justify promotion. This will facilitate understanding by committee members who rely on the application, and the Head of School's and referees' reports, as their main sources of information.
- 4.2.4 Applicants should focus on achievements and publications since their last appointment or promotion at this University, but should refer in the application to their whole career to date.
- 4.2.5 Applicants are strongly encouraged to provide information that will allow the LPC and CPC to assess the significance and impact of the applicant's publications or creative works. Measures that may be useful here include citation rates, impact factors, journal rankings, prizes or other awards, or other external measures of quality that are recognised in the discipline.

- 4.2.6 Applicants must provide evidence of the capacity to perform at the level to which they are seeking promotion and demonstrate an upward trajectory in performance that would warrant promotion to the next level.
- 4.2.7 Applicants should provide an explanation in their application of any known special circumstances that have affected their opportunity to meet the requirements for promotion.
- 4.2.8 Applications must not exceed the specified word limits for each section. 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).
- 4.2.9 The applicant has the right to expect notification of the membership of, and any subsequent changes to, the relevant LPC, the names of assessors in the case of Level E, and where applicable the membership of and any subsequent changes to the CPC, within the timeframe specified.
- 4.2.10 The applicant has the right to make written objections regarding membership of the LPC or CPC to the chair of the LPC or CPC within seven days of the receipt of advice.
- 4.2.11 The applicant has the right to make written objections regarding nominated assessors (for Level E applications) to the Chair of the LPC within seven days of the receipt of advice. At this time, applicants should also indicate whether they have any relationship with the assessors and whether there is any conflict of interest.
- 4.2.12 Applicants must supply the names of five (5) referees at the time of submitting their application. Applicants should indicate their relationship to the referees and whether they believe there is any conflict of interest.
- 4.2.13 It is the responsibility of the applicant to confirm the willingness and availability of their referees' to supply a report by the stipulated deadline. It is the responsibility of applicants to select the best referees as committees may give weight to referees from comparable universities, and at senior levels, from overseas, rather than those selected from the applicant's faculty. Applicants must make a finely balanced judgment when choosing referees between those who are close enough to give an authoritative appraisal of the applicant's work and those who are able to be more independent.
- 4.2.14 The applicant does not have the right to nominate assessors, or external and additional LPC members.
- 4.2.15 The applicant has the right to submit comments on any matters raised in the Head of School's (or nominee's) report.
- 4.2.16 Applicants have the right to change the stream to which they have sought promotion, providing this is notified in writing to the Academic Promotions Unit by the deadline for such changes, which will be before the LPC considers the application for the first time.
- 4.2.17 There will be no interviews except for applications at Level E, which are compulsory.
- 4.2.18 The Chair of an LPC for Levels B, C or D may communicate with an applicant via the Academic Promotions Unit, where the LPC requires clarification of an issue(s) by writing to the applicant seeking appropriate information to make an informed decision.
- 4.2.19 The applicant should respond only in writing within 7 calendar days to any such request and these should be directed to the Academic Promotions Unit.
- 4.2.20 Applicants should not make personal comparisons to other staff at the level for which they are applying as a method of benchmarking.

4.3 Responsibilities of the Chair of the Local Promotion Committee (or nominee)

- 4.3.1 The Chair is responsible for providing the Provost with the recommendations for membership of the LPC, including reserves and any subsequent changes, for approval.
- 4.3.2 The Chair of the LPC will confirm that members of the LPC are not referees, or in the case of Level E, assessors of applicants to be considered by that particular committee.

- 4.3.3 Checking with LPC members that they have not had or do not currently have a close personal relationship with any applicant or do not have any personal interest in promoting or not promoting a particular applicant and in the event of an interest being declared, the LPC Chair should make a determination on the relevance of that declaration and is responsible for finding an replacement member for the LPC if necessary.
- 4.3.4 The Chair is responsible for distributing all papers (including policies, guidelines, etc) to the LPC and ensuring that all members of the LPC are familiar with the processes and requirements of such a committee.
- 4.3.5 The Chair must arrange all LPC meetings and advise both members and applicants of the date and time at least one week prior to the meeting date.
- 4.3.6 For Levels B to D, the Chair should organise a preliminary meeting, either by circulation or face-to-face, to consider which applicants the Committee feels it needs to formulate questions in order to clarify particular issue(s).
- 4.3.7 The Chair may give permission where appropriate, for alternative meeting formats such as video/tele-conferencing, etc to be used. For applicants at Level E , the Chair should ensure that applicants are informed when alternative formats for the interview are to be utilised.
- 4.3.8 The Chair must receive, record and make available to the LPC members, the publications and any supplementary evidence provided by the applicant including any responses by the applicant where the committee has requested clarification.
- 4.3.9 The Chair is responsible for nominating two assessors (including one reserve) for Level E applications, who are external to the University, of high international standing and be able to comment on the field of expertise of the candidate, and forwarding these nominations to the Provost for approval.
- 4.3.10 The Chair must ensure that assessors are available to complete a report within a four week time frame.
- 4.3.11 The Chair must accept written objections to either the membership of the LPC or nominated assessors within seven days of the Academic Promotions Unit providing the information to an applicant.
- 4.3.12 The Chair of the LPC must forward any objections to the membership of the LPC to:
 - (i) the Provost for Levels B-D; and
 - (ii) the Vice-Chancellor for Level E.
- 4.3.13 The Chair of the LPC must forward any objections to a nominated assessor to the Chair of the Level E Central Promotions Committee (CPC) who will make a determination on the reasonableness or otherwise of the objections, and advise the applicant.
- 4.3.14 At and after the meeting the Chair must:
 - (a) Ask all members of the committee at the beginning of the meeting to declare any personal interest in any application;
 - (b) Ensure all papers are destroyed in a confidential manner;
 - (c) Ensure that all committee members understand the generic and specific attributes for the level in question, including matters such as cross-disciplinary research, alternative teaching methods, etc;
 - (d) Prepare the LPC report according to the guidelines, ensuring there is enough detail in the report to allow appropriate feedback to applicants and make certain that the core members have had an opportunity to review the report and provide comments;
 - (e) Where the Committee is unanimous in voting to promote an applicant to Levels B or C, the LPC report does not need to provide detail, but should state that the decision was agreed to by all members of the Committee;

- (f) The LPC needs to provide a detailed report for all applicants for Levels D and E regardless of the recommendation;
 - (g) Ensure that core members of the LPC have approved the report;
 - (h) Notify all LPC members when the CPC does not endorse a recommendation; and
 - (i) Provide feedback to unsuccessful applicants about all aspects of their application, once recommendations have been approved.
- 4.3.15 In the case of promotion to Levels D and E, the Chair is required to ensure their availability to attend the CPC meeting as required to answer questions concerning applicants, referees' and/or assessors' reports and the LPC report.
- 4.3.16 Where there is a Level C LPC established to consider applications from only one faculty, the Chair of that committee is required to make themselves available as described in 4.3.14 above.

4.4 Responsibilities of the LPC members

- 4.4.1 Provide comment on the LPC report and, in the case of core members, approve in writing by either signing the report or indicating approval via email.
- 4.4.2 All members 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.
- 4.4.3 LPC members, who are not *ex officio* members, must have academic rank not lower than that of the grade to which promotion is sought. Approval for exceptions to this may be sought from the Provost and Deputy Vice-Chancellor (e.g. where the Head of School or discipline is of a lower rank).
- 4.4.4 LPC members must ensure they are not referees or assessors for any applicant to be considered by the committee unless there are exceptional circumstances with the approval of the Provost and Deputy Vice-Chancellor.
- 4.4.5 Members of the LPC must not be members of the CPC considering applications at the same level.
- 4.4.6 Any apparent conflict of interest, such as a close personal relationship with any applicant, or any other personal interest in promoting or not promoting a particular applicant must be declared as soon as possible to the Chair of the LPC.
- 4.4.7 If an applicant applies to be promoted two levels and the LPC forms the view that promotion by two levels is not justified, the LPC may recommend to the CPC that the applicant is promoted by one level.

4.5 Responsibilities of the Chair of the Central Promotion Committee (or nominee)

- 4.5.1 The Chair will examine the reports of the LPC as soon as they are received and raise any concerns about procedures with the Chair of the LPC.
- 4.5.2 Where deemed necessary the Chair may ask for further reporting, the reconvening of an LPC and the submission of a new report.
- 4.5.3 Checking with CPC members that they have not had or do not currently have a close personal relationship with any applicant or do not have any personal interest in promoting or not promoting a particular applicant and in the event of an interest being declared, the CPC Chair should make a determination on the relevance of that declaration and is responsible for finding an replacement member for the CPC if necessary.
- 4.5.4 Make decisions in relation to any objections received from applicants regarding the membership of CPC.
- 4.5.5 The Chair is responsible for reporting any concerns regarding LPC procedures to the membership of the CPC.
- 4.5.6 The Chair should review the preliminary voting prior to the CPC meeting.

- 4.5.7 Ask all members of the committee to declare any personal interest in any application.
- 4.5.8 Prepare the CPC report according to the guidelines.
- 4.5.9 The Chair will provide feedback to unsuccessful applicants if requested.

4.6 Responsibilities of the CPC members

- 4.6.1 CPC members, who are not *ex officio* members, must have academic rank not lower than that of the grade to which promotion is sought.
- 4.6.2 CPC members must not be referees for any applicant to be considered by the committee.
- 4.6.3 Members of the CPC must not have been members of an LPC considering applications at the same level.
- 4.6.4 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.
- 4.6.5 The CPC may include a Head who has provided the Head's report for an applicant being considered by that CPC.
- 4.6.6 The CPC may determine a promotion to a lower level where an LPC has formed the view that an applicant who has applied for promotion by two levels is not justified and recommended to the CPC that the applicant be promoted one level.

4.7 Responsibilities of the Academic Promotions Unit

- 4.7.1 Provide information to applicants regarding the membership of the relevant LPC or CPC.
- 4.7.2 Provide advice to chairs of LPCs and CPCs on matters of process.
- 4.7.3 Ensure that electronic copies of applications and reports, including any written clarification requested by an LPC in accordance with paragraph 4.3.6, are provided to LPC and CPC committees within the designated timeframes.
- 4.7.4 Ensure that each LPC has a minimum of three (3) referees' reports for each candidate.
- 4.7.5 Ensure that the Provost has approved all LPCs. Where there are minor changes to approved LPCs, ensure these have been approved by a senior manager in the Provost's Office and provide a weekly report of these to the Provost.
- 4.7.6 Notwithstanding 4.7.5 above, where there are significant implications (for example, a change in the chair of an LPC) in an amendment to an approved LPC, these must be forwarded to the Provost for approval.
- 4.7.7 Names of assessors that have been approved by the Provost will be forwarded by the APU to applicants for comment.

5 Membership and terms of reference for promotions committees

5.1 Local Promotions Committee – membership (Promotion to Levels B, C & D)

- 5.1.1 The core is normally five members, but may be up to a maximum of seven, plus one reserve.
- 5.1.2 The **core** membership of the committee will be made up of:
 - The Chair being a Dean from one of the faculties participating in the LPC, or nominee (with the approval of the Provost). In the absence of the Dean, the Dean's nominee will Chair the LPC *ex officio*;
 - Three members from at least two different faculties (including the faculty of the applicant);

- One Academic Board nominee;
 - Up to two other members in exceptional circumstances from at least two different faculties;
 - One reserve; In the absence of the Academic Board nominee, the reserve member shall take the role of the Academic Board nominee, regardless of whether or not they are on the list of Academic Board nominees.
- 5.1.3 Where there is an LPC considering applications from only one faculty, at least two of the members in the category *three members from at least two different faculties* should be from outside the faculty and exclusive of the Academic Board nominee.
- 5.1.4 In addition to the core membership, each LPC will have one **additional** member (plus one reserve member) specific to individual applications, who will normally have expertise in the applicant's general field, for example the Head of School/discipline, the professor most concerned with the applicant's research, or a staff member from another university.
- 5.1.5 Appointment of the member(s) with expertise in the applicant's general field is the responsibility of the Chair of the LPC, in consultation with the Head of School, and should not be nominated by the applicant.

5.2 Local Promotions Committee – membership (Promotion to Level E)

- 5.2.1 The core is normally six members, but may be up to a maximum of eight, plus one reserve.
- 5.2.2 The **core** membership of the committee will be made up of:
- The Chair being a Dean from one of the faculties participating in the LPC, or nominee (with the approval of the Provost). In the absence of the Dean, the Dean's nominee shall be the Chair of the LPC *ex officio*;
 - Normally four and no more than six Professors from at least two different faculties;
 - One Academic Board nominee;
 - Reserve; In the absence of the Academic Board nominee, the reserve member shall take the role of the Academic Board nominee, regardless of whether or not they are on the list of Academic Board nominees.
- 5.2.3 Members of the professoriate may be augmented from another university where:
- A multi faculty LPC is considering applications of a small faculty without a large professoriate; or
 - An LPC is only considering applications from a small single faculty without a large professoriate.
- 5.2.4 In addition to the core membership, each LPC will have one **additional** member (plus one reserve member) specific to individual applications, who will normally have expertise in the applicant's general field, for example the Head of School/discipline, the professor most concerned with the applicant's research, or a staff member from another university.
- 5.2.5 Appointment of the member(s) with expertise in the applicant's general field is the responsibility of the Chair of the LPC, in consultation with the Head of School, and should not be nominated by the applicant.

5.3 Local Promotions Committees – terms of reference

- 5.3.1 The LPC is formed under the authority of the Provost and serves a faculty or group of faculties.
- 5.3.2 Centres that are outside the normal faculty structure will be assessed by the most relevant faculty as determined by the Provost.
- 5.3.3 The role of the LPC is to act as assessor rather than advocate for faculty applications.
- 5.3.4 When assessing an application, the LPC should take into account the whole academic career of the applicant, but particular attention must be given to achievement and publications since the last appointment or promotion at this University.
- 5.3.5 The LPC should look for evidence of an upward trajectory in performance that would warrant promotion to the next level.
- 5.3.6 The LPC may request additional relevant information, documentation or advice from applicants, the head of school/discipline, referees etc. Any such additional information is to be attached to the LPC report.
- 5.3.7 Each core member of an LPC must rate each applicant in terms of the evaluation standards, the minimum standards for promotion taking account of the criteria for each level and position focus. These are set out in Section 3 above.
- 5.3.8 Only core LPC members are required to vote for or against promotion in each case. Where a member's rating of an applicant does not meet the minimum standards required for promotion, that member cannot vote in favour of promoting that applicant.
- 5.3.9 A secret ballot is not permitted by any LPC committee.
- 5.3.10 Applicants who receive at least two-thirds of votes in favour of promotion are supported for promotion.
- 5.3.11 The core members of the LPC should make a clear decision in relation to the standards of evaluation to either recommend or not recommend promotion for each applicant.
- 5.3.12 LPC committees may decide to recommend an applicant for promotion in a stream which has not been nominated by them where it considers this to be more appropriate and only where the application would not otherwise have been supported.
- 5.3.13 Where a candidate who has nominated to be promoted by two levels (e.g. B to D) is unsuccessful, the LPC may make a recommendation to the CPC to promote by one level.
- 5.3.14 Where a head of school is also an applicant for promotion, the relevant dean will nominate another member of the school or faculty to act in the role of Head on the LPC for that particular level.

5.4 Central Promotions Committee – membership (Promotion to Levels C or D)

- 5.4.1 The membership of the committee will comprise:
 - Provost and Deputy Vice-Chancellor (or nominee) (Chair) *ex officio*;
 - Chair of the Academic Board *ex officio*;
 - One senior academic from another university (nominated by the Provost);
 - Three members of the academic staff nominated by the Provost; and
 - Three members of the academic staff nominated by the Chair of the Academic Board;
 - Two reserves from the academic staff nominated jointly by the Provost and Chair of the Academic Board.
- 5.4.2 Those members who are not *ex officio* should normally serve for a period of no more than three consecutive years.

5.5 Central Promotions Committee – membership (Promotion to Levels E)

5.5.1 The membership of the committee will comprise:

- Vice-Chancellor (Chair) *ex officio*;
- Provost and Deputy Vice-Chancellor *ex officio*;
- Two deans (nominated by the Provost);
- Chair of the Academic Board *ex officio*;
- One senior academic from another university (nominated by the Vice-Chancellor);
- Three professors (nominated by the Chair of the Academic Board); and
- Two reserves from the professoriate nominated by the Chair of the Academic Board.

5.5.2 Those members who are not *ex officio* should normally serve for a period of no more than three consecutive years.

5.6 Central Promotions Committees – terms of reference

5.6.1 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 LPC.

5.6.2 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 judgments which will serve as the basis for discussion and decisions.

5.6.3 Recommendation for promotion requires a positive vote from at least two-thirds of the members of the CPC.

5.6.4 The CPC may decide to recommend an applicant for promotion in a stream which has not been nominated by them where it considers this to be more appropriate and only where the application would not otherwise have been supported.

5.6.5 The CPC has the authority to recommend promotion by one level in the case of unsuccessful applications for promotion by two levels.

5.6.6 Where the CPC cannot fully endorse the LPC recommendation, the LPC Chair is consulted by the CPC before it makes its final decision on the recommendations.

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

6 Approval

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

Level B – recommendation made by the LPC for approval by the Provost and Deputy Vice-Chancellor.

Level C – recommendations made by an LPC established to consider candidates from more than one faculty for approval by the Provost and Deputy Vice-Chancellor. Where an LPC is established to consider candidates from only one faculty, final recommendation is made by the CPC for approval by the Provost and Deputy Vice-Chancellor.

Level D – recommendation made by the LPC. Final recommendation made by CPC for approval by the Provost and Deputy Vice-Chancellor.

Level E – recommendation made by the LPC. Final recommendation made by CPC for approval by the Senate Chair Appointments Committee.

7 Position and personal titles

Upon promotion the following position and personal titles will apply:

Substantive Position				
	<i>Teaching & Research</i>		<i>Research Only</i>	
Promotion Category				
	<i>Teaching & Research; Education Focused or Research Focused</i>		<i>Teaching & Research; Education Focused or Research Focused</i>	
	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

Substantive Position				
	<i>Teaching & Research</i>		<i>Research Only</i>	
Promotion Category				
	<i>Teaching & Research; Education Focused or Research Focused</i>		<i>Teaching & Research; Education Focused or Research Focused</i>	
	Position Title	Personal Title	Position Title	Personal Title
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

8 Appeals

Appeals in relation to academic promotions will only be considered on the basis of a significant breach of procedure where it can be demonstrated that such a breach may have affected the outcome of the application.

The promotions policy and procedures are outlined in the Policy Statement on Promotion of Academic Staff, Committee Procedures for LPC and CPC Committees and Guidelines for Applicants, which are available from the Academic Promotions Unit, the Academic Promotions website at <http://www.usyd.edu.au/provost/promotions.shtml> or Policy Online. It is the responsibility of applicants to make themselves familiar with these procedures.

8.1 Submitting an appeal

8.1.1 The deadline for the submission of an appeal is as follows:

- 8.1.1.1 Within 14 days of the receipt of advice of the outcome of an application, the applicant should meet with the chair of the LPC and, where the chair was not also the dean of the applicant's faculty, the dean.
- 8.1.1.2 In the case of applications considered by a CPC, the applicant will have a further 7 days to meet with the chair of the relevant CPC.
- 8.1.1.3 Once an applicant has fulfilled 8.1.1.1 and where applicable 8.1.1.2, they will have a further 7 days to submit an appeal.

8.1.2 All appeals for promotion to Level B or C must be submitted to the Provost.

8.1.3 Appeals for promotions to Level D or E must be submitted to the Vice-Chancellor.

8.1.4 Where the Vice-Chancellor was the chair of a CPC, the Vice-Chancellor will nominate a Deputy Vice-Chancellor to consider the appeal.

8.1.5 No additional material may be provided once the appeal has been submitted.

8.2 Consideration of the appeal

8.2.1 In considering the appeal, the Vice-Chancellor (or nominee) or Provost will have access to:

- 8.2.1.1 the applicant's letter setting out the basis of the appeal;
- 8.2.1.2 the application for promotion;
- 8.2.1.3 the referees' reports and, where appropriate, the Head of Department report or assessors' reports;
- 8.2.1.4 the report of the LPC;
- 8.2.1.5 the report of the CPC (if appropriate); and
- 8.2.1.6 may seek other information, as appropriate.

8.2.2 The Vice-Chancellor (or nominee) or Provost will not reassess the application for promotion. The Vice-Chancellor (or nominee) or Provost will determine only whether any breach of procedure has occurred, and if it has occurred, whether this may have affected the outcome of the application.

8.3 Decision regarding the appeal

8.3.1 The Vice-Chancellor (or nominee) or Provost shall determine whether the appeal is upheld:

- 8.3.1.1 If the appeal is not upheld, the matter is closed.
- 8.3.1.2 If the appeal is upheld, the merits of the application shall be reconsidered.

8.3.2 The Vice-Chancellor's (or nominee's) or Provost's decision is final.

8.4 Reconsidering the merits of the application when an appeal is upheld

- 8.4.1 The merits of the application shall be reconsidered by the original CPC, or, where an application was not considered at CPC level, the original LPC.
- 8.4.2 The committee should consist of as many members of the LPC or CPC who are available. The committee membership is to exclude any member who may have been the object of the appeal and to include, where possible, the external member. At least 75% of the members must be present.
- 8.4.3 The committee will
- 8.4.3.1 follow LPC or CPC procedures, whichever is applicable; and
 - 8.4.3.2 have access to any additional information that is related to the specific appeal leading to the reconsideration.
- 8.4.4 The committee will make a recommendation for or against promotion to:
- 8.4.4.1 for Levels B and C, the Provost for approval;
 - 8.4.4.2 for Level D, the Vice-Chancellor for approval; and
 - 8.4.4.23 for Level E, the Senate Chair Appointments Committee for approval.

9 Policy administration

9.1 Background/Context

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

9.2 Consultation

Amendments to the 2008 policy arose from feedback received from applicants, committee members and heads of schools. Consultations were also held with the Academic Staffing Committee, the Academic Board and the Management and Staff Consultative Committee. The work conducted by the Provost's Academic Working Group 1 was significant in determining the criteria for each level.

Amendments made in 2010 are as a result of feedback from LPCs, applicants, heads of schools, administrative staff involved in the promotions process, and the Senior Executive Group.

9.3 Ownership

Academic Board

9.4 Management Responsibility

Provost and DVC

9.5 Implementation Responsibility

Deans, Provost and DVC

9.6 Approval

Approval	December 2009
Effect	1 January 2010
Review	September 2010
Approval	10 November 2010
Review Date	10 November 2012

9.7 Signatures

Approved by:

Name

Date

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Position

Signature

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