



# ACADEMIC PROMOTIONS PROCEDURES 2015

Issued by: The Provost and Deputy Vice-Chancellor  
Dated: 16 December 2015  
Last amended: 15 December 2017 (administrative amendments)  
27 November 2018  
Commencing: 1 January 2018  
1 January 2019

Signature:

Name:

Current policy approver: Chief Human Resources Officer

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## 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 these procedures:

**ERA** means Excellence in Research Australia, a report on research activity in Australian higher education institutions compiled by the Australian Research Council.

**faculty** includes University school.



<b>will</b>	means that staff at the relevant level are expected to meet this requirement.
<b>may</b>	means that some but not all staff at the relevant level would meet this requirement.
<b>will normally</b>	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.
<b>will, where appropriate</b>	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) This clause:
  - (a) should be applied to the specific circumstances of each position;
  - (b) provides generic attributes and responsibilities for each academic level not all of which will apply or need to be met; and
  - (c) should be read together with the minimum standards set out in Schedule 1 of the [Academic Promotions Policy 2015](#).
- (2) **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 or other mentoring programs, within or outside the University, where appropriate;
  - (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, where appropriate, through research or education related activities with industry, government or the community;
  - (l) will, where appropriate, engage in translational research with a view to building strong, sustained partnerships with external organisations, which



will produce outputs such as research and development, 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.
- (3) **Staff in education-focused 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;
  - (d) have a record of success in competitive grant applications or teaching awards; and
  - (e) will, where appropriate demonstrate teaching engagement, for example through curricula involving industry, government or the community.
- (4) **Staff in research-focused 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) will, where appropriate demonstrate sustained engagement and impact through research with industry, government or the community.
  - (e) to have a record of success in competitive external grant applications.
- (5) **Staff applying on the basis of governance, leadership and engagement focus** are expected to:
- (a) devote a significant proportion of their effort and focus on governance, leadership, engagement activities;
  - (b) demonstrate sustained engagement over a substantial period of time in governance and significant leadership roles with one or more of the University, faculty, school, discipline or community;
  - (c) will, where appropriate demonstrate sustained engagement and impact with industry, government or the community;
  - (d) demonstrate meaningful quality outcomes from these activities that provide benefit to the University; and
  - (e) provide evidence of the impact these activities have had in achieving outcomes within their teaching and research portfolios.
- Note:** This stream applies only to applications for promotion to Level D or E. See clause 7(5) of the [policy](#).
- (6) The specific normative criteria for Level A to E staff are set out in subclauses 4(7) to 4(11), and summarised in the table in Schedule 2.



**(7) Level A staff:**

**(a) General Expectation:**

- (i) will normally work under supervision of staff at Level B or above, with an increasing degree of autonomy as they gain skill and experience;
- (ii) may be pursuing education and professional development opportunities to enhance their expertise and professionalism in higher education.

**(b) Education and education engagement:** may supervise research students at undergraduate level;

**(c) Research and Research engagement:**

- (i) will normally conduct research or scholarly activities under limited supervision either independently or as a member of a team;
- (ii) may be involved or mentored in translational research with a view to external collaboration and establishing partnerships which have outputs such as research and development, commercialisation, improved practice and policy;

**(d) Governance, leadership or engagement:**

- (i) will undertake administration primarily relating to their activities;
- (ii) may be mentored in a formal University mentoring program;
- (iii) may participate in external activities related to the discipline or profession.

**(8) Level B staff:**

**(a) General expectation:**

- (i) will contribute to any or all of research, scholarship or teaching, either independently or as part of a team, through professional practice and expertise;
- (ii) may be pursuing education and professional development opportunities to enhance their expertise and professionalism in higher education.

**(b) Education and education engagement:**

- (i) will be involved in evaluating teaching and learning, both at the program level and in relation to their own practice;
- (ii) 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;
- (iii) may be involved in training in either or both of pedagogical skills or research;
- (iv) will normally contribute to teaching at honours, undergraduate and postgraduate level, including within appropriate units of study.

**(c) Research and research engagement:**

- (i) will be able to demonstrate a record of research and scholarly activities relating to their discipline;
- (ii) may contribute to academic practice or professional journals on issues relevant to their discipline or contribute more broadly as appropriate to their discipline;



**Note:** A premium may be placed on ERA recognised contributions;

- (iii) will normally provide evidence of competitive grant applications within the University or externally, either individually or as part of a team;
- (iv) may be involved or mentored in translational research with a view to external collaborations and establishing partnerships which have outputs such as research and development, commercialisation, improved practice and policy.

**(d) Governance, leadership or engagement:**

- (i) 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;
- (ii) will co-ordinate or lead the activities of other staff as appropriate to their discipline;
- (iii) will be an informal mentor for other staff at Levels A and B, or colleagues outside the university;
- (iv) may be mentored in a formal University mentoring program;
- (v) will undertake scholarly development and engagement in their subject area;
- (vi) will, where appropriate, participate in continuing professional development (for example through seminars and conferences);
- (vii) may have involvement in discipline or professional associations.

**(9) Level C staff:**

**(a) General expectations:**

- (i) will be able to demonstrate a strong record of research, scholarly activities, teaching or teaching practices relating to their discipline;
- (ii) will be acknowledged at national level as influential in expanding knowledge, or pedagogical and curriculum practice, within their discipline;
- (iii) 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 or postgraduate level;
- (iv) may be pursuing education and professional development opportunities to enhance their expertise and professionalism in higher education.

**(b) Education and education engagement:**

- (i) will provide leadership with a significant impact on their faculty or school in teaching, teaching innovation or curriculum development, or research training and supervision;

**(c) Research and research engagement:**

- (i) will make independent and original contributions to scholarship within their discipline and will disseminate these among colleagues or the community;



- (ii) will contribute to academic or professional journals on issues relevant to their discipline or contribute more broadly as appropriate to their discipline;

**Note:** A premium may be place on ERA recognised contributions;

- (iii) will provide evidence of competitive grant applications within the University or externally;
- (iv) may be involved or mentored in translational research with a view to external collaboration and establishing partnerships which have outputs such as research and development, commercialisation, improved practice and policy;
- (v) may contribute their research expertise and knowledge to broader forums of public debate, consistently with University policy.

**(d) Governance, leadership or engagement:**

- (i) 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;
- (ii) 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;
- (iii) will be an informal mentor for other staff at Level C or below, or colleagues outside the University;
- (iv) may be a formal mentor for other staff at Level C or below;
- (v) will disseminate knowledge of benefit to, and promote good practice in, their faculty and the University;
- (vi) may be mentored in a formal University mentoring program;
- (vii) 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 the community.

**(10) Level D staff:**

**(a) General expectations:**

- (i) will have attained and maintained recognition at national or international level in their discipline; and
- (ii) will make original and innovative contributions to their field of study or research, which are recognised as outstanding nationally or internationally; or
- (iii) will make original contributions to teaching, such as contributions to national efforts to enhance curriculum and providing high quality learning experiences in their discipline;

**(b) Education and education engagement:**

- (i) will have a sustained record of effective leadership in curriculum design, implementation, and innovations training, leading to improvements in student learning and in research teaching teams;



- (ii) will demonstrate capability to lead developments in 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).

**(c) Research and Research engagement:**

- (i) will contribute to academic or professional journals on issues relevant to their discipline or as recognised under the ERA, or more broadly;
- (ii) will have a record of competitive or partnership-based research grants, as appropriate to their discipline;
- (iii) may be involved in translational research or collaboration with external partners with a view to establishing partnerships which have outputs such as research and development, commercialisation, improved practice and quality;
- (iv) will have a sustained record of effective leadership in fostering the research activities of others and in research teaching teams;
- (v) will demonstrate capability to lead developments in research which enhance the reputation of the faculty or University, such as leading participation in internationally funded research projects;
- (vi) will, where appropriate. Contribute their research expertise and knowledge to broader forms of public debate consistently with University policy.

**(d) Governance, leadership or engagement:**

- (i) will normally make an outstanding contribution to governance and collegial life within the University, and in community and professional service;
- (ii) will be an informal mentor for other staff at Level D and below or colleagues outside the University;
- (iii) will be a formal mentor for staff at Level C or below;
- (iv) may be mentored in a formal University mentoring program;
- (v) will, where appropriate, assist the University in its development work;
- (vi) may demonstrate leadership or active involvement in strategic initiatives and partnerships with industry, government or the community.

**(11) Level E staff:**

- (a) **General expectations:** will have achieved and maintained international recognition through original innovate and distinguished contributions to research and scholarship.
- (b) **Education and education engagement:**
  - (i) will demonstrate leadership in all or any of curriculum development, program development and management, or research and scholarship;  
or
  - (ii) will demonstrate capability to lead developments in learning and teaching which enhance the reputation of the faculty or University.



**(c) Research and research engagement:**

- (i) will have achieved and maintained international recognition through original, innovative and distinguished contributions to scholarship and research;
- (ii) will have publications in peer-reviewed international journals or creative works recognised under the ERA in their discipline or more broadly;
- (iii) will have a record of competitive or partnership-based research grants, as appropriate to their discipline;
- (iv) may demonstrate leadership in translational research or collaboration with external partners, with a view to establishing sustainable partnerships which have outputs such as research and development, commercialisation, improved practice and policy;
- (v) will, where appropriate, contribute their research expertise and knowledge to broader forums of public debate, consistently with University policy;
- (vi) will demonstrate leadership in research and scholarship;
- (vii) will demonstrate capability to lead developments in research which enhance the reputation of the faculty or University, such as leading participation in internationally funded research projects.

**(d) Governance, leadership or engagement:**

- (i) 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;
- (ii) will mentor University colleagues or senior individuals in the community or professions to leadership positions;
- (iii) will be mentored in a formal University mentoring program;
- (iv) will be an informal mentor for other staff at Level D or below, or colleagues beyond the University.
- (v) will be a formal mentor for staff at Level E or below;
- (vi) will provide evidence of recognition within the broader research or professional community, such as membership or editorship of journals, membership of national or international consultative bodies, membership of specialist committees or advisory boards;
- (vii) will, where appropriate, assist the University in its development work;
- (viii) may demonstrate leadership or active involvement in strategic initiatives and partnerships with industry, government or the community.

## **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 in section 8 of the [policy](#), including:





- (a) Discussing the intention to apply for promotion with the relevant person in the faculty no later than October 31 in the year prior to applying; and
  - (b) Registering notice of intent using the [online form](#) on the academic promotions website 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  
  
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 must be initiated as provided in clause 17 of the policy.
- (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) 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 and details of at least three referees;



- (d) a clear statement of the case including:
  - (i) 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) reasons for promoting the staff member to the desired level; and
  - (iv) reasons for doing so “out of round”.
- (4) Where a submission for an “out of round” promotion is received on behalf of a 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.
- (5) The relevant committee will consider the “out of round” promotion in accordance with policy if the original application:
  - (a) has not been considered by a final LPC meeting;
  - (b) has been considered by a final LPC meeting and the recommendation was not to promote;
  - (c) is for Level D or E and has not had a preliminary CPC vote; or
  - (d) is for Level D or E and the preliminary CPC vote is not to promote.
- (6) 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.
- (7) Within two 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.
- (8) The committee may adopt a unanimous recommendation by circulation.
- (9) Unless a unanimous response is received within the nominated time frame, the Chair will call a meeting of the committee; and
  - (a) may invite the candidate to attend a formal interview; and
  - (b) may request additional information which may include further reports.
- (10) The committee will vote on the submission, which will be recommended if supported by a majority of votes.
- (11) No appeal is available from an “out of round” promotion submission outcome.
- (12) The relevant delegate must approve the “out of round” promotion if:
  - (a) a final LPC report in favour of promotion has been received in the case of promotion to Level B and C; or
  - (b) a final LPC report and a preliminary CPC vote recommending promotion has been received in the case of Level D or E.
- (13) Where a 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 updates to their application only in the manner provided in this clause.
- (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) Applicants must enter updates online in the academic promotions online system.
- (5) Level D and E applicants (and 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 the 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) Applicants must enter second updates online in the academic promotions online system.
- (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) To ensure continuity of knowledge, experience and to foster leadership and career development, the Chair must request that proposed members 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 [Recordkeeping Policy 2017](#) 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 must exclude any staff member in the school or 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).

## **11 Referees' reports**

- (1) The Academic Promotions Unit will contact nominated referees to request that they complete a report 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-focused 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.
- (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 clause 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 may vote on applications 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 may 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 clarification questions for or requests for information from the additional member; and
- (ii) the member's clarification questions for or requests for information from each applicant;
- (c) the LPC Chair will collate the clarification questions for and requests for information from additional members and request a response via email;
  - (i) the additional member will provide a response by email to 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 clarification questions for and requests for information from 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) each core member completing a voting sheet for preliminary meetings formal voting on these applications will be undertaken by means of 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:
  - (a) responses received from additional members to LPC core member questions of clarification;
  - (b) responses received from applicants to LPC members questions of clarification;
  - (c) any application updates received;
  - (d) any documented special circumstances or "relative to opportunity" issues that have been raised; and
  - (e) information from the LPC Chair about the impact of special circumstances that have been flagged as confidential.
- (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) Where special circumstances have been identified as confidential, the LPC Chair will inform the committee about their impact without divulging the confidential details.
  - (5) The core members of the committee will vote on each application.
  - (6) 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) 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;
  - (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 professional 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 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 an [appeal lodgement form](#) by email.
- (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) No further materials may be submitted after the appeal lodgement form is submitted.
- (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 appeal lodgement form 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 19(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 the policy and these procedures, resulting in a recommendation to the relevant delegate as to whether or not the applicant should be promoted.
- (10) 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
Date amended:	15 December 2017, commencing 1 January 2018 20 November 2018, commencing 1 January 2019
Original administrator:	Provost
Current policy owner:	Chief Human Resources Officer
Review date:	15 December 2022
Related documents:	<i>Academic Promotions Policy 2015</i> <i>Recordkeeping Policy 2017</i> <i>Recordkeeping Manual</i>

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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



<b>Provision</b>	<b>Amendment</b>	<b>Commencing</b>
6	Amendments throughout to clarify the process for out of round promotions	1 January 2017
7	Amendments throughout to clarify the process for updating applications	1 January 2017
8(4)	Note amended to subclause and following clause renumbered	1 January 2017
9	Reference 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
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
4 (4)	Addition of criteria for Governance, leadership, engagement stream	1 January 2018
12 (1)	Additional detail regarding the assessor report request process	1 January 2018
14 (2)	New subclause added to clarify LPC process	1 January 2018
15 (4)	New subclause added at (4) regarding discussion of confidential special circumstances	1 January 2018
19 (10)	Administrative amendment to document structure	1 January 2018



<b>Provision</b>	<b>Amendment</b>	<b>Commencing</b>
3(2)	Definitions extended to apply to entire policy rather than clause 4; inclusion of new definition for 'faculty'	20 November 2018
4	Clause 4(1) inserted and clauses 4(2) to 4(11) re-numbered.	20 November 2018
4(2)(g)	Clause amended 'mentoring may occur within or outside the University'	20 November 2018
4(2)(k)	Clause amended by replacing 'with the wider community where appropriate' with 'where appropriate, through research or education related activities with industry, government or the community'	20 November 2018
4(2)(l)	Clause amended to 'with a view to building strong, sustained partnerships with external organisations, which will produce outputs such as research and development..' from 'will, where appropriate, engage in translational research with a view to establishing strong partnerships with outputs'	20 November 2018
4(3)	Remove 'may' and replace with 'will, where appropriate'	20 November 2018
4(3)(d)	'and' added to end of clause	20 November 2018
4(3)(e)	new sub-clause (e) inserted	20 November 2018
4(4)	Remove 'may' and replace with 'will, where appropriate'	20 November 2018
4(4)(d)	New sub-clause (d) inserted and previous (d) now (e)	20 November 2018
4(5)	Remove 'may' and replace with 'will, where appropriate'	20 November 2018
4(5)(c)	New sub-clause (c) inserted	20 November 2018
4(5)(e)	"limiting" replaced by "achieving"	20 November 2018
4(6)	New sub-clause inserted	20 November 2018
4(7)	Substantial amendments to Level A staff.	20 November 2018
4(8)	Substantial amendments to Level B staff	20 November 2018



<b>Provision</b>	<b>Amendment</b>	<b>Commencing</b>
4(9)	Substantial amendments to Level C staff	20 November 2018
4(10)	Substantial amendments to Level D staff	20 November 2018
4(11)	Substantial amendments to Level E staff	20 November 2018
5(2)(a)	Replace 'your intent' with 'the intention'	20 November 2018
5(2)(b)	Hyperlink to 'online form'	20 November 2018
5(5)(b)	Hyperlink to 'two level promotion form'	20 November 2018
6(3)(c)	'referee details' replaced with 'of at least three referees'	20 November 2018
7(5)	insert 'and' after bracket	20 November 2018
9(1) Note	Update Recordkeeping Policy 2017	20 November 2018
10	Replace Heads' reports all levels with Heads' reports: all levels	20 November 2018
10(3)	Delete 'would' and insert 'must'	20 November 2018
14(2)(b); 14(2)(c)	Delete 'and'	20 November 2018
19(9)(e)	Replace 'this' with 'the' and replace its associated with 'these'	20 November 2018
Schedule 2	add new schedule	20 November 2018



## SCHEDULE 1

### PERSONAL AND POSITIONAL TITLES

<b>Substantive Position</b>				
	<i>Teaching &amp; Research</i>		<i>Research Only</i>	
<b>Promotion Category</b>				
	<i>Teaching &amp; Research; Education Focused or Research Focused</i>		<i>Teaching &amp; Research; Education Focused or Research Focused</i>	
	<b>Position Title</b>	<b>Personal Title</b>	<b>Position Title</b>	<b>Personal Title</b>
<b>Level B</b>	Lecturer	As per personal status (Dr, Ms, Mrs, Mr, etc.)	Research Fellow or Lecturer	As per personal status (Dr, Ms, Mrs, Mr, etc.)
<b>Level C</b>	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.)
<b>Level D</b>	Associate Professor	Associate Professor	Principal Research Fellow or Associate Professor	Associate Professor
<b>Level E</b>	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

## SCHEDULE 2

### Normative criteria for Levels A to E

Level	General expectations	Education and education engagement	Research and research engagement	Governance, leadership or engagement
<b>A</b>	<ul style="list-style-type: none"> <li>i. Will normally work under supervision of staff at Level B or above, with an increasing degree of autonomy as they gain skill and experience;</li> <li>ii. May be pursuing education and professional development opportunities to enhance their expertise and professionalism in higher education</li> </ul>	<p>May supervise research students at undergraduate level</p>	<ul style="list-style-type: none"> <li>i. Will normally conduct research or scholarly activities under limited supervision either independently or as a member of a team;</li> <li>ii. May be involved or mentored in translational research with a view to external collaboration and establishing partnerships which have outputs such as research and development, commercialisation, improved practice or policy;</li> </ul>	<ul style="list-style-type: none"> <li>i. Will undertake administration primarily relating to their activities;</li> <li>ii. May be mentored in a formal University mentoring program;</li> <li>iii. May participate in external activities related to the discipline or profession.</li> </ul>
<b>B</b>	<ul style="list-style-type: none"> <li>i. Will contribute to any or all of research, scholarship or teaching, either independently or as part of a team, through professional practice and expertise;</li> <li>ii. May be pursuing education and professional development opportunities to enhance their expertise and professionalism in higher education</li> </ul>	<ul style="list-style-type: none"> <li>i. Will be involved in evaluating teaching and learning, both at the program level and in relation to their own practice;</li> <li>ii. 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;</li> <li>iii. May be involved in training in either or both of</li> </ul>	<ul style="list-style-type: none"> <li>i. Will be able to demonstrate a record of research and scholarly activities relating to their discipline;</li> <li>ii. May contribute to academic, practice or professional journals on issues relevant to their discipline or contribute more broadly to their discipline; <b>Note:</b> A premium may be placed on ERA recognised contributions;</li> <li>iii. Will normally provide evidence of competitive grant applications within the University or externally, either individually or as a part of a team;</li> <li>iv. May be involved or mentored in translational research with a view to external collaborations</li> </ul>	<ul style="list-style-type: none"> <li>i. 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;</li> <li>ii. Will co-ordinate or lead the activities of other staff as appropriate to their discipline;</li> <li>iii. Will be an informal mentor for other staff at Levels A and B, or colleagues outside the University;</li> <li>iv. May be mentored in a formal University mentoring program;</li> <li>v. Will undertake scholarly development and engagement in their subject area;</li> </ul>

Level	General expectations	Education and education engagement	Research and research engagement	Governance, leadership or engagement
		<p>pedagogical skills or research;</p> <p>iv. Will normally contribute to teaching at honours, undergraduate and postgraduate level including within appropriate units of study.</p>	<p>and establishing partnerships which have outputs such as research and development, commercialisation, improved practice and policy.</p>	<p>vi. Will, where appropriate, participate in continuing professional development (for example, through seminars and conferences);</p> <p>vii. May have involvement in discipline or professional associations.</p>
<b>C</b>	<p>i. Will be able to demonstrate a strong record of research, scholarly activities, teaching or teaching practices relating to their discipline;</p> <p>ii. Will be acknowledged at national level as influential in expanding knowledge, or pedagogical and curriculum practice, within their discipline;</p> <p>iii. 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 or postgraduate level;</p> <p>iv. May be pursuing education and</p>	<p>i. Will provide leadership with a significant impact on their faculty or school in teaching, teaching innovation or curriculum development, or research training and supervision;</p>	<p>i. Will make independent and original contributions to scholarship within their discipline and will disseminate these among colleagues or the community;</p> <p>ii. Will contribute to academic or professional journals on issues relevant to their discipline or contribute more broadly as appropriate to their discipline;</p> <p><b>Note:</b> A premium may be placed on ERA recognised contributions;</p> <p>iii. Will provide evidence of competitive grant applications within the University or externally;</p> <p>iv. May be involved or mentored in translational research with a view to external collaboration and establishing partners which have outputs such as research and development, commercialisation, improved practice and policy;</p> <p>v. May contribute their research expertise and knowledge to broader forums of public debate, consistently with University policy.</p>	<p>i. 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;</p> <p>ii. 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;</p> <p>iii. Will be an informal mentor for other staff at Level C or below, or colleagues outside the University;</p> <p>iv. May be a formal mentor for other staff at Level C or below'</p> <p>v. Will disseminate knowledge of benefit to, and promote good practice in, their faculty and the University;</p> <p>vi. May be mentored in a formal University mentoring program;</p> <p>vii. Will normally play a major role or provide a significant degree of leadership in scholarly,</p>



Level	General expectations	Education and education engagement	Research and research engagement	Governance, leadership or engagement
	<p>professional development opportunities to enhance their expertise and professionalism in higher education.</p>			<p>research or professional activities relevant to any or all of their profession, discipline or the community</p>
<b>D</b>	<ul style="list-style-type: none"> <li>i. Will have attained and maintained recognition at national or international level in their discipline; and</li> <li>ii. Will make original and innovative contributions to their field of study or research, which are recognised as outstanding nationally or internationally; or</li> <li>iii. Will make original contributions to teaching, such as contributions to national efforts to enhance curriculum and providing high quality learning experiences in their discipline;</li> </ul>	<ul style="list-style-type: none"> <li>i. Will have a sustained record of effective leadership in curriculum design, implementation, and innovations training leading to improvements in student learning and in research teaching teams;</li> <li>ii. Will demonstrate evidence of capability to lead developments in 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);</li> </ul>	<ul style="list-style-type: none"> <li>i. Will contribute to academic or professional journals on issues relevant to their discipline or as recognised under the ERA, or more broadly;</li> <li>ii. Will have a record of competitive or partnership-based research grants, as appropriate to their discipline;</li> <li>iii. May be involved in translational research or collaboration with external partners with a view to establishing partnerships which have outputs such as research and development, commercialisation, improved practice and quality;</li> <li>iv. will have a sustained record of effective leadership in fostering the research activities of others and in research teaching teams;</li> <li>v. Will demonstrate capability to lead developments in research which enhance the reputation of the faculty, or University, such as leading participation in internationally-funded research projects;</li> <li>vi. Will, where appropriate, contribute their research expertise and knowledge to broader forms of public debate, consistently with University policy.</li> </ul>	<ul style="list-style-type: none"> <li>i. Will normally make an outstanding contribution to governance and collegial life within the University, and in community and professional service;</li> <li>ii. Will be an informal mentor for other staff at Level D and below or colleagues outside the University;</li> <li>iii. Will be a formal mentor for staff at Level C or below;</li> <li>iv. May be mentored in a formal University mentoring program;</li> <li>v. Will, where appropriate, assist the University in its development work;</li> <li>vi. May demonstrate leadership or active involvement in strategic initiatives and partnerships with industry, government or the community.</li> </ul>

Level	General expectations	Education and education engagement	Research and research engagement	Governance, leadership or engagement
<b>E</b>	Will have achieved and maintained international recognition through original innovative and distinguished contributions to research and scholarship;	<ul style="list-style-type: none"> <li>i. Will demonstrate leadership in all or any of curriculum development, program development and management or research and scholarship; or</li> <li>ii. Will demonstrate capability to lead developments in learning and teaching which enhance the reputation of the faculty, or University</li> </ul>	<ul style="list-style-type: none"> <li>i. Will have achieved and maintained international recognition through original, innovative and distinguished contributions to scholarship and research;</li> <li>ii. Will have publications in peer-reviewed international journals or creative works recognised under the ERA in their discipline or more broadly;</li> <li>iii. Will have a record of competitive or partnership-based research grants, as appropriate to their discipline;</li> <li>iv. May demonstrate leadership in translational research or collaboration with external partners, with a view to establishing sustainable partnerships which have outputs such as research and development; commercialisation, improved practice and policy;</li> <li>v. Will, where appropriate, contribute their research expertise and knowledge to broader forums of public debate, consistently with University policy;</li> <li>vi. will demonstrate leadership in research and scholarship;</li> <li>vii. Will demonstrate capability to lead developments in research which enhance the reputation of the faculty, or University, such as leading participation in internationally funded research projects</li> </ul>	<ul style="list-style-type: none"> <li>i. 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;</li> <li>ii. Will mentor University colleagues or senior individuals in the community or professions to leadership positions;</li> <li>iii. Will be mentored in a formal University mentoring program;</li> <li>iv. Will be an informal mentor for other staff at Levels D or below or colleagues outside the University;</li> <li>v. Will be a formal mentor for staff at Level E or below;</li> <li>vi. Will have evidence of recognition within the broader research or professional community, such as membership or editorship of journals, membership of national or international consultative bodies, membership of specialist committees or advisory boards;</li> <li>vii. Will, where appropriate, assist the University in its development work;</li> <li>viii. May demonstrate leadership or active involvement in strategic initiatives and partnerships with industry, government or the community.</li> </ul>