

Academic Promotion Vice-Chancellor's Directive

Abstract

The purpose of this Directive is to outline the process for academic promotion and to set out the criteria against which academic staff will be assessed for promotion.

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Related documents	Education Focused Academic Roles Vice-Chancellor's Directive Progression of Academic Staff — Level A–B — Guidelines (HR Manual 5.23) Performance and Development — Principles and Procedures (HR Manual 6.5) Outside Work Vice-Chancellor's Directive Code of Conduct Equal Opportunity and Diversity Policy Academic Staff Agreement Academic Benchmarks Framework (staff only) UTS Leadership Framework (staff only) Academic promotion application form (staff only)
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1. Purpose

The Academic Promotions Vice-Chancellor's Directive (the Directive) outlines the process and criteria for promotion to senior lecturer, associate professor and professor.

The purpose of promotion is to:

- (a) recognise, reward and retain academic staff who contribute to outcomes which advance the University's strategic objectives and standing
- (b) provide an identifiable career pathway for academic staff
- (c) foster the development of the skills and performance excellence of academic staff, and
- (d) recognise the achievement of high standards of workplace behaviour including ethical and collegial behaviour, respect for others and adherence to the principles of equity and diversity and personal accountability.

2. Scope

This Directive applies to eligible full-time, part-time and sessional academic staff, including academic managers in the Senior Staff Group who hold substantive academic staff positions.

The Directive does not apply to:

- (a) casual academic staff
- (b) progression to lecturer level B (refer to HR Manual 5.23, [Progression of Academic Staff Level A–B — Guidelines](#)).

3. Definitions

For the purposes of this Directive, the following definitions apply:

Dean means the dean of faculty, director of institute or equivalent position.

Faculty means:

- (a) faculties or the equivalent of faculties, and
- (b) academic units such as the Institute for Interactive Media and Learning, Jumbunna Indigenous House of Learning, Institute for Sustainable Futures, Australian Centre of Excellence for Local Government, or any other equivalent organisational unit.

4. Directive principles

In pursuit of its vision to be a world-leading university of technology, UTS aims to develop and sustain a high performance culture where staff is supported to progress their careers. UTS fosters excellence in teaching, research, engagement and service across the University.

The UTS annual academic promotion scheme provides a mechanism for the recognition and reward of high-achieving academic staff. Each year eligible academic staff may apply for promotion to senior lecturer, associate professor or professor on the basis of personal merit against promotion criteria.

While promotion will be based on personal merit, the number of promotions to associate professor and professor will be limited by a quota.

Applications for promotion must demonstrate personal merit against the specified promotion criteria, based on evidence of achievement and its quality and impact. Personal merit includes collegial and team contributions.

The University is committed to the principle of equal opportunity in promotion and therefore recognises that academic staff contributes to its strategic objectives in diverse ways. The achievements of applicants for promotion are considered in the context of the vision and strategic objectives of UTS relative to:

- the particular circumstances of an applicant's career
- approved workplans, and
- the opportunities which have been available to him/her relative to the discipline and appointments held.

All academic staff participate in the UTS performance and development process through which staff are guided and supported to achieve excellence in their performance and to pursue their career development goals. The assessment of applications for promotion is informed by the performance and development documentation.

5. Directive statements

5.1 Quotas

For promotion to associate professor and professor, the number of promotions made in any given year will be limited by a quota, determined annually by the Vice-Chancellor. There is no quota for promotion to senior lecturer.

5.2 Performance and development and the role of academic supervisor

All academic staff have an academic supervisor for the purpose of the UTS performance and development process.

A critical part of the academic supervisor's role is to lead, guide and develop academic staff. Through the University's performance and development scheme, academic supervisors are expected to provide guidance, information and feedback to prospective applicants for promotion.

All academic staff have a responsibility to engage with the performance and development process, take ownership of their career development and performance outcomes, and prepare documentation required for the process (ie workplans and performance review reports) with their academic supervisor.

Documentation produced during the performance and development process will be provided by applicants for promotion as evidence of their contribution and achievement.

5.3 Eligibility

Academic staff who meet both of the following requirements are eligible to apply for promotion, subject to the exceptions provided below:

- (a) full-time, part-time or sessional academic staff, and
- (b) two years aggregated service at UTS (excluding casual service and leave without pay) following appointment or promotion.

The following exceptions apply:

- (a) Less than two years service: the Chair of the Promotion Committee has the authority to accept applications from academic staff with less than two years aggregated service. The application must have the support of the relevant dean.
- (b) External research grant funded position: academic staff appointed for three years or less from external research grant funds are not eligible to apply for promotion, unless provision has been made for the cost of possible promotion within the research grant funding, or the relevant dean or director has agreed in writing to fund the cost of possible promotion.
- (c) Probation performance: academic staff on probation who have been notified that there are impediments to the continuation of their employment in accordance with the University's probation procedures (refer to clause 36 of [Academic Staff Agreement](#) and HR Manual 6.25 [Probation – Academic Staff Guidelines](#)) are not eligible to apply for promotion.
- (d) Previous unsuccessful promotion application: there is a two year waiting period (excluding leave without pay) for academic staff who have unsuccessfully applied for promotion. The Chair of the Promotion Committee has the authority to accept applications from unsuccessful applicants in the previous promotion round. Such action would be rare and would be taken only if the relevant dean strongly supported the application. However, for promotion to associate professor or professor, applicants who were deemed promotable in the previous promotion round but were unsuccessful due to imposition of a quota may reapply the following year.
- (e) Disciplinary action: if an investigation into an allegation of misconduct or serious misconduct is in process at (or commences after) the closing date for applications for promotion, the application will continue to be considered through the normal promotion process. However, the Vice-Chancellor will not make the final decision on the application until the investigation is concluded. If formal disciplinary action is taken, the applicant will be deemed to be ineligible for promotion in that particular round.

5.4 Criteria for promotion

Suitability for promotion will be judged on three criteria:

- (a) qualifications
- (b) performance and standing
- (c) leadership within the University and personal standing.

5.4.1 Qualifications

Applicants must possess high academic and professional qualifications appropriate to their discipline or field. Normally, the following qualifications will be required:

Promotion to	Qualifications
Senior lecturer	<ul style="list-style-type: none">• possession of a doctorate or substantial progress towards a doctorate, OR• documentary evidence of a research component as part of a higher degree, OR• presentation of a body of evidence which shows equivalence to a doctorate.
Associate professor and professor	<ul style="list-style-type: none">• possession of a doctorate, OR• presentation of a body of evidence to show equivalence to a doctorate.

In limited cases, exceptions to the above requirements might apply to some disciplines or fields where doctorates are historically less common. In such cases a Masters degree, or its equivalent, may be regarded as the appropriate advanced qualification, sometimes in combination with substantial relevant professional experience at a high level. Intending applicants who believe that such circumstances may apply to them should seek advice from their dean. Where support from the dean is forthcoming, the applicant may request permission from the Chair of the Promotion Committee to proceed with an application for the full Committee to consider.

5.4.2 Performance and standing

Applicants' performance and standing will be assessed in the following three areas of activity:

- (1) teaching and educational development
- (2) research, scholarship, creative work and/or the advancement of knowledge
- (3) engagement and partnership, and academic management

To attain promotion, applicants must be able to demonstrate their contribution in each of these areas as outlined in the following table unless they can be categorised in terms of one of the exceptions set out below in the Performance and Standing Table.

PERFORMANCE AND STANDING TABLE	
Level	Contribution
Senior lecturer	An <i>outstanding</i> contribution to either (1) teaching and educational development OR (2) research, scholarship, creative work and/or the advancement of knowledge AND a <i>satisfactory</i> contribution to each of the other two areas OR A <i>major</i> contribution to any two areas AND a <i>satisfactory</i> contribution to the third

Associate professor	An outstanding contribution to either (1) teaching and educational development OR (2) research, scholarship, creative work and/or the advancement of knowledge AND a major contribution to each of the other two areas OR Outstanding contributions to any two areas and a satisfactory contribution to the third
Professor	An outstanding contribution to any two areas AND a major contribution to the third

In addition to demonstrating contribution in each of the areas as set out in the table, applicants will state their contribution in terms of an estimated percentage contribution to each of the three areas, averaged over the period since their appointment or previous promotion, or the previous five years, whichever is the lesser. The actual contributions to the three areas of academic activity will total 100 per cent (this is the same for part-time and sessional academic staff).

Exceptions to contribution level requirements

UTS recognises that, in some career paths outlined below, academic staff may not make contributions at the levels set out in the above Performance and Standing Table in all three areas. The information provided by academic staff applying under the circumstances below must be verified by the academic supervisor and dean and their level of contribution across the three areas must be consistent with the workload recorded in workplans and annual performance review reports.

- (a) *Approved role or workload specialisation consistent with the strategic objectives of UTS*
Such a specialisation would normally be recognised within a contract of appointment or other formal communication from the Human Resources Unit or the dean/director. Examples of such specialisations include a research focused appointment or an appointment to a significant academic management role or function.

An applicant who applies for promotion on this basis is expected to:

- have served in the approved role or workload specialisation for at least one year
- demonstrate how their specialisation contributes to the strategic objectives of UTS
- demonstrate a *sustained higher level of productivity and impact* of an appropriate standard and quality in the area(s) of specialisation than applicants who contribute to all three areas, and
- demonstrate sustained performance which meets expectations in terms of its standard and quality in any other areas of academic activity in which they are engaged during the period of the specialisation, and
- in the case of education focused academic appointments, demonstrate that they meet the requirements of level descriptor for the level to which they are seeking promotion (refer to the [Education Focused Academic Roles Vice-Chancellor's Directive](#) for level descriptors).

To be promoted, the applicant's overall performance in terms of the performance and standing criterion must be judged to be equivalent to the overall performance of an applicant who meets the contribution requirements for the level of promotion being sought (as set out in the Performance and Standing Table above).

(b) *Personal circumstances or approved working arrangements*

Such circumstances or arrangements may include substantial career interruptions (such as absence on parental leave, or due to serious ill health, disability or 'misadventure'), carer responsibilities or part-time or sessional employment which limits the academic staff member's opportunity to work across the three areas.

An applicant who applies for promotion on this basis:

- is encouraged to make explicit their specific circumstances¹, outlining the impact that these circumstances have had on their performance and reasons why they have not had the opportunity to contribute at the minimum levels required in all three areas
- will be expected to demonstrate an appropriate and sustained standard of performance in terms of the *quality* and *impact* of their contributions in those areas of academic activity in which they are engaged. It is recognised that those who apply on this basis may have a lower level of *productivity*.

To be promoted, the applicant's overall performance in terms of the performance and standing criterion must be judged to be equivalent to the overall performance of an applicant who meets the contribution requirements for the level of promotion being sought (as set out in the Performance and Standing Table above) given the limitations imposed by the applicant's circumstances.

Evidence of performance and standing

The performance and standing of applicants in the three areas will be judged based on evidence of the following:

(1) Teaching and educational development

A **satisfactory contribution** must relate to programs offered by the University, and would normally include some of the following:

- (a) effective teaching performance enabling appropriate learning outcomes from students
- (b) effective use of appropriate teaching methods and assessment to achieve learning objectives (including where appropriate, the use of flexible learning methods)
- (c) effective supervision of projects and/or theses of undergraduate, graduate, honours and/or research higher degree students
- (d) alignment of teaching, learning and curriculum practice with the UTS Model
- (e) quality and currency of, and innovative approaches to, subject, course or program content
- (f) effective subject and/or program (re)development including the development of appropriate learning resources and textbooks
- (g) systematic approach to providing effective student consultation
- (h) responsibility for enabling effective learning experiences for students through practical work, field trips, clinical teaching, placement of students in mandatory work experience, etc.
- (i) appropriate use of course content and design to foster the valuing and awareness of international, multicultural, gender, Indigenous and other diverse perspectives

¹ The applicant should discuss with the Chair of the Promotion Committee the extent of information on their specific circumstances needed to support the promotion application and whether to disclose details of their specific circumstances only to the Chair of the Promotion Committee rather than within their application. Where disclosure is only to the Chair of the Promotion Committee, the Chair will disclose only sufficient information about the applicant's circumstances necessary for the Promotion Committee to fulfil its responsibilities.

(j) embedding support for students in academic literacy or numeracy within the curriculum.

A **major or outstanding contribution** would include evidence of some of the following, in addition to the level necessary for a satisfactory contribution:

- (a) teaching performance at a *superior* level
- (b) encouragement of critical thinking, and innovative approaches by students
- (c) innovative approaches to facilitating an effective learning environment for a diverse student population
- (d) effective fostering of internationalisation including intercultural engagement
- (e) innovative or exemplary approaches to practice-oriented and/or research inspired and integrated learning
- (f) development of innovative or exemplary teaching materials or facilities, or approaches to teaching or assessment to foster effective student learning, including through the use of new technologies
- (g) dissemination of innovative and/or research inspired teaching and/or educational development
- (h) for senior lecturers a *significant* role and for associate professors and professors a *leading* role in the development and introduction of new courses or educational programs or the substantial review and renewal of existing courses or programs
- (i) contributions to effective approaches to whole of program development of student graduate attributes including mapping assurance of learning and/or learning objectives to assessment
- (j) demonstrated contribution to the timely completions of and quality of outcomes for honours and higher degree research students (eg class of honours, higher degree research examiners' reports, student publications and conference presentations, awards, employment outcomes)
- (k) systematic use of peer review or benchmarking of teaching methods, assessment approaches, course design, learning aids and teaching materials to improve teaching and learning
- (l) participation in professional development aimed at improving student learning, particularly for students for whom English is an additional language
- (m) leadership in learning, teaching and educational development.

(2) Research, scholarship, creative works and/or the advancement of knowledge

A **satisfactory contribution**, or commitment, refers to the level of scholarship necessary to maintain effectiveness as a teaching academic at the relevant level. Scholarship in this context is defined as the organisation and distillation of existing knowledge.

Occasional or even frequent professional practice is often a desirable means of maintaining currency, but does not of itself constitute scholarship. A distinction is drawn between scholarship, in the sense just described, and the active advancement of knowledge or its applications through research, development and professional practice and/or creative work. Applicants who claim a satisfactory contribution must be able to say how scholarship is evidenced in their academic work.

Senior lecturers need not necessarily have been responsible for advances in knowledge, but are expected to be experienced scholars who can provide appropriate teaching and learning and professional leadership in their field and show evidence of some contribution to peer-reviewed scholarly work. A satisfactory contribution in this area will be assessed accordingly.

A **major contribution** would involve, in addition to the level of scholarship necessary for a satisfactory contribution, original authorship of peer reviewed works in the applicant's discipline or field which advance knowledge or creative insight, or apply new knowledge in original ways to problems of acknowledged importance. A major contribution would also normally involve successful funding of research or creative projects, appropriate to the discipline and promotion level, with evidence of successful outcomes.

A **major contribution** for promotion to senior lecturer would require evidence that the applicant is recognised by peers, preferably nationally, in his/her field, or at least in a significant way outside the University. For an associate professor or professor the evidence required would be that the applicant is recognised by peers nationally and preferably internationally.

An **outstanding contribution** would be one of unusual depth and significance, or a series of contributions sustained over an extended period with clear evidence of national recognition for a senior lecturer, and international recognition and standing for an associate professor or professor unless this is demonstrably unrealistic within the applicant's discipline.

Evidence in this area of research, scholarship and/or creative works will include some of the following at all levels (the level, quality and impact of the work will be the critical aspect; quantity alone will not be sufficient):

- (a) authorship of quality books, articles, papers, publications in electronic form, patents or inventions, scripts, exhibition or performance catalogues, scholarly translations either refereed or supported by other evidence of peer recognition
- (b) authorship, direction or execution of performances, productions, exhibitions, or designs appropriate to the discipline or medium concerned and with independent reviews or other evidence of peer recognition
- (c) record of outcomes from (for a senior lecturer *demonstrated potential* for) research collaborations: interdisciplinary initiatives; major international collaborations and other partnerships
- (d) record of outcomes from (for a senior lecturer *demonstrated potential* for) established collaborative industry links and/or productive research contacts with industry and/or the professions
- (e) record of (for a senior lecturer *demonstrated capacity* to) establish/ing links which support the University's goals in relation to internationalisation
- (f) record of successfully conducting, promoting or leading research and development groups or activities related to the aims of the University
- (g) record of successful competitive funding of research projects from research, teaching and learning, industry or artistic sources (present, past, source, team and amount of funding)
- (h) record of contribution to the advancement of knowledge and/or its applications through approved consultancy work. Such consultancy work must be conducted in accordance with [Council Directives for UTS Commercial Activities](#).
- (i) contributions of a scholarly kind to the affairs of a professional organisation or learned society
- (j) invitations: keynote addresses; displays of work, curatorial invitation, invited symposia, seminars at other universities; serving on external high level selection committees, visiting appointments held at other institutions, reviewer or assessor of research activities
- (k) awards: international awards and fellowships, national awards from academies and learned societies, UTS awards

- (l) editorial contributions to scholarly journals and other professional publications
- (m) leadership of research, scholarship and/or creative activity.

(3) *Engagement and partnership, and academic management*

A **satisfactory contribution** in this area would require sustained involvement in both engagement and partnership, and academic management. Engagement and partnership refers to collaboration with, contribution to and the formation of relationships with external organisations, industry partners, professions and the community which are mutually beneficial and enhance the reputation of UTS. Academic management refers to contributions to the effective and efficient administration, management and corporate life of the faculty/unit and/or University.

Activities associated with paid private practice or consultancy as defined in the [Outside Work Vice-Chancellor's Directive](#) will not be considered as evidence under this area (or any other area).

A **satisfactory contribution** in this area would normally include some of the following:

Engagement and partnership

- (a) appointment to external bodies, or invitations by other institutions to act in an expert capacity
- (b) provision of expertise to organisations, including professional or discipline associations, government and industry through for example: membership/chairing of government, industry or community boards, committees, reference groups or commissions; acting as an advisor or consultant to local, national and international organisations or bodies
- (c) public intellectual engagement, contributing to the profile and reputation of UTS within government, industry, the professions and the broader community
- (d) involvement in relevant professional bodies or community groups relevant to the area of academic activity
- (e) contributions to advisory or accreditation bodies.

Academic management

- (a) reliable performance of administrative functions appropriate to the applicant's level within a faculty or other unit
- (b) evidence of initiative and ability to contribute to policy and strategy
- (c) active involvement in University consultative and decision-making processes beyond the immediate academic unit, eg University, interdisciplinary activity, centre, staff association, etc.
- (d) initiation or active maintenance of linkages between the University and external groups or employers of graduates
- (e) program coordination and administration including effective management and review of a subject, course or program, and effective management, development and leadership of members of teaching teams including casual academic staff
- (f) active participation in student recruitment or support activity (eg school visits, open days, career fairs, academic liaison officer, activities under the widening participation strategy) and graduations.

A **major or outstanding contribution** would also include some of the following, depending on the applicant's level:

Engagement and partnership

- (a) contribution to the management (for a senior lecturer *substantial* contribution to the administration) or the policy direction of a professional organisation or learned society
- (b) successful organisation of conferences, including evidence of registrations and benefits to the discipline and UTS
- (c) innovation in and contributions to the advancement of professional practice, acknowledged by appropriate peer recognition
- (d) significant and innovative continuing education (non-award program) activities
- (e) significant contribution to entrepreneurial work in the University's interest
- (f) significant contribution to policy advisory bodies to government or major community organisations
- (g) substantial contribution to policy formulation for government or industry or professional or community organisations
- (h) significant contribution to public policy or other major community issue, other sustained and high-level contributions to professional organisations, learned societies, community and/or employer groups, relevant to the applicant's academic expertise
- (i) establishment of effective international links which promote the development of UTS
- (j) leadership in engagement and partnership that significantly enhances the reputation of UTS.

Academic management

- (a) for a senior lecturer *active involvement* in the management of an academic unit or effective *management* of a function or significant University project/initiative; and for an associate professor or professor the effective *management of a substantial* unit or function or significant University project/initiative
- (b) effective and successful financial management, risk management, staff management, supervision and/or mentoring
- (c) contributions to quality improvement, policy or strategy formulation and implementation within the faculty or University
- (d) substantial contribution to the advancement of UTS equity and access strategy, including sustained contributions as an academic liaison officer or Indigenous or international student coordinator or to other roles that support equity, retention and success for specific student groups
- (e) leadership in academic management.

General comments regarding the performance and standing criteria

In all three areas of performance and standing criteria outlined in this section 5.4.2 (teaching and educational development; research, scholarship, creative work and/or the advancement of knowledge; and engagement and partnership and academic management), claims of outstanding contributions should be supported by evidence that the applicant's work is known and highly regarded beyond the confines of the University, preferably nationally at senior lecturer level and internationally at associate professor or professor level, particularly in the case of research. It is appreciated that hard and fast boundaries cannot always be drawn between the three areas, and that some activities could legitimately appear under more than one area.

In each case, the Committee will attempt to interpret the criteria as appropriate to the discipline or field concerned. Applicants should clearly indicate to the Committee under which category they wish their achievements to be considered.

5.4.3 Leadership within the University and personal standing

UTS expects that academic staff will have, and be able to demonstrate, high personal standing in terms of workplace behaviour, including ethical and professional behaviour, respect for others, a collegial approach and support for equity and diversity in the University community.

Applicants for promotion must demonstrate that they:

- (a) contribute to developing effective, collegial, supportive and productive working relationships within and external to UTS
- (b) act in the interests of UTS
- (c) independently and collaboratively, set and achieve objectives consistent with the strategic objectives of UTS
- (d) contribute to the creation of an environment which enhances equity and respects diversity at UTS
- (e) comply with the requirements of laws and University policies, directives, procedures and guidelines and generally act as a good corporate citizen
- (f) actively model high standards of professional and ethical behaviour
- (g) look for opportunities to improve quality and effectiveness and devise improved approaches and methods (ie Plan, Do, Review, Improve (PDRI))
- (h) reflect on and seek guidance on performance and embrace opportunities for personal/professional growth or development.

Applicants for promotion must also demonstrate academic leadership. Leadership in this context is defined as the ability to guide, inspire and influence others, as set out in the UTS [Leadership Framework](#) (staff only), in the attainment of stated goals. Academics at the level of senior lecturer and above may be appointed as dean, associate dean, head of school, head of department or assume other University responsibilities as appropriate and therefore leadership capacity at these levels is an important criterion for promotion.

Applicants for promotion to senior lecturer must provide *indications* of a capacity for further academic leadership within the University.

Applicants for promotion to associate professor must normally *demonstrate* a capacity for further academic leadership.

Applicants to professor must be able to *demonstrate* a proven ability to provide *significant* academic leadership within the University.

To demonstrate outstanding contributions in any of the three areas of performance and standing applicants would need to provide evidence of being effective academic leaders in the relevant area. Unless an applicant displays exceptional talent in other ways, *leadership potential* will be regarded as an essential attribute for promotion to associate professor and demonstrated leadership ability will be regarded as an essential attribute for promotion to professor.

Evidence of academic leadership could include some or all of the following, depending upon the applicant's level:

- (a) inspiring, guiding and facilitating others in achieving excellence and professionalism in their contributions to the University's strategic objectives

- (b) fostering internal and external relationships and facilitating and promoting teamwork and respectful collaborative working relationships
- (c) evidence of conflict management, persuading, influencing and negotiating in a range of forums to gain agreement, commitment and encourage the adoption of new ideas and initiatives demonstrating effective decision-making and skills in conflict management, persuading, influencing and negotiating in a range of forums to gain agreement, commitment and encouraging the adoption of new ideas and initiatives
- (d) taking a leadership role or acting as a catalyst in groups involved in making improvements to existing arrangements or developing and implementing new initiatives
- (e) actively contributing to the development of a strategic direction for the faculty or University and facilitating its effective implementation
- (f) providing intellectual leadership by stimulating debate and open and tolerant discussion
- (g) mentoring and coaching to colleagues in their professional and career development.

5.5 Applications

Applications will be called each year with a deadline given for receipt of applications.

All applications will be completed in accordance with the requirements set out in the University's [academic promotion application form](#) (staff only) (the application form). It is the responsibility of the applicant to ensure that the information provided in their application is accurate and to establish and prove their case for promotion. Applications must include supporting evidence to justify the achievements stated in their case for promotion. This evidence should cover both the specific achievements claimed as well as the quality and impact of these achievements. Evidence must be tangible and verifiable against documents, records and/or objects. The application form sets out requirements for supporting evidence.

It is the responsibility of applicants to present their case for promotion within the context of their discipline and to clearly explain this to the Promotion Committee, recognising that its members are not necessarily experts in their specific discipline. Applicants are responsible for providing sufficient information to enable Promotion Committee members to assess the standing and level of national or international peer recognition of the evidence of their achievements. This is particularly important for discipline-specific granting schemes and forms of publication or performance.

In exceptional circumstances, a request to lodge a late application may be made to the Chair of the relevant Promotion Committee, prior to the application deadline. Any extension of the deadline must be approved by the Chair of the Committee, who may make the extension conditional; for example, the application must be received within the agreed extension date.

Reapplication

In cases where an application for promotion to the same level has previously been made, the applicant will be expected to indicate ways in which they have developed since the last application both during the application stage and, if shortlisted, for promotion to associate professor and professor at interview.

5.6 Reports

The reports required as part of the promotion process are set out in the application form and include those identified below.

Level	Number and type of reports required
Senior lecturer	<ul style="list-style-type: none"> • Academic supervisor's report endorsed by the dean (part of

	application form) • Three referees including internal and external referees.
Associate professor/ professor	• Academic supervisor's report endorsed by the dean (part of application form) • Two referees: <ul style="list-style-type: none"> ○ one referee who is external and of international standing, and ○ one referee who may be internal or external. • an external advisor nominated by the Chair of the relevant Promotion Committee.

Further information about each of the above reports is provided below:

5.6.1 Academic supervisor's report and dean's endorsement

An academic supervisor's report, addressing each of the criteria and verifying the applicant's achievements and claims, will also be provided by the applicant's academic supervisor. The dean will review the application, including the academic supervisor's report, and indicate whether or not they endorse the application providing rationale for this decision.

The applicant will provide their academic supervisor and dean with sufficient time before the closing date for applications to review their application and complete the relevant sections of the application form.

If the applicant does not agree with the comments made by their academic supervisor and/or dean, the applicant may indicate this on the application form.

The academic supervisor's report may be prepared by a member of the professoriate in the applicant's discipline instead of the academic supervisor where all of the following circumstances apply:

- the supervisor is not in the same discipline area or field of study as the applicant, and
- there is a member of the professoriate within the University who is in the same field of study or discipline and who agrees to prepare such a report at the request of the applicant, and
- the applicant's supervisor agrees to the substitution.

In circumstances where the academic supervisor does not agree to the substitution, but where a member of the professoriate is available and willing to prepare a report, both reports shall be sighted and signed by the applicant and submitted to the Promotion Committee.

Where the dean or academic supervisor is also an applicant, the Chair of the Promotion Committee will nominate one or two other internal persons, of senior standing, to provide reports.

5.6.2 Referees reports

Applicants for promotion must provide the names and contact details of people who have agreed to act as referees in accordance with the following:

Promotion to senior lecturer	Three referees
Promotion to associate professor or professor	Two referees, at least one of whom must be external

When choosing referees, applicants should be mindful of the balance between internal and external referees that will appropriately support their application. For example, internal referees may be more suitable for an application for promotion based on a stronger record of teaching whereas, if applying for promotion emphasising contributions to research, referees external to the University may be more appropriate.

Written reports, addressing each of the criteria, namely qualifications, performance and standing and leadership within the University, will be requested from the nominated referees and will be confidential to the Committee and the official observers. Committee members may be nominated to act as a referee.

5.6.3 External advisor report

For promotion to associate professor or professor, an external advisor will be nominated by the Chair of the relevant Promotion Committee to comment on the written application.

Written reports, addressing each of the criteria, namely qualifications, performance and standing and leadership within the University, will be requested from the external advisor and will be confidential to the Committee and the official observers.

For an application that falls under the 'exception to contribution level requirements' category of approved role or workload specialisation (see section 5.4.2), the external advisor will be selected with a view to being able to offer comment on the applicant's approved role or workload specialisation.

5.7 Promotion Committees

5.7.1 Promotion Committee composition

Suitability for promotion at each level will be assessed by a Promotion Committee made up of core and additional members as described in the Promotion Committee Membership Table below.

Where Committee members are University staff and are nominated or elected as members, account should be taken of the balance of the Committee in terms of discipline, gender and geographical location. The membership of each Committee is given in the table below:

PROMOTION COMMITTEE MEMBERSHIP TABLE		
Level	Core members	Additional members
Senior lecturer A Committee will be formed for each faculty.	<ul style="list-style-type: none"> • Provost or a Deputy Vice-Chancellor nominated by the Vice-Chancellor (Chair) • two academic staff members at the level of senior lecturer or above, selected by the Chair from a pool of academic staff elected by the Academic Board (refer to (b) below) • one nominee of the Vice-Chancellor • the applicant's dean or, if applicable, head of school or associate dean or equivalent (appointed by the Vice-Chancellor) 	<ul style="list-style-type: none"> • an academic staff member from the applicant's faculty (normally at the level of senior lecturer or above), appointed by the Vice-Chancellor on the recommendation of the dean

Associate professor	<ul style="list-style-type: none"> • Provost or a Deputy Vice-Chancellor nominated by the Vice-Chancellor (Chair) • two professors or associate professors selected by the Chair from a pool of academic staff elected by Academic Board (refer to (b) below) • one professor or associate professor nominated by the Vice-Chancellor • two senior members of academic staff from another institution (one from a science/technology and one from a humanities/social sciences background) nominated by the Chair 	<ul style="list-style-type: none"> • the applicant's dean or, if applicable, head of school or associate dean (appointed by the Vice-Chancellor)
Professor	<ul style="list-style-type: none"> • Provost or a Deputy Vice-Chancellor nominated by the Vice-Chancellor (Chair) • Two professors nominated by the Vice-Chancellor • two professors selected by the Chair from a pool of academic staff elected by Academic Board (refer to (b) below) • two senior members of academic staff from another institution (one from a science/technology and one from a humanities/social sciences background) nominated by the Provost 	<ul style="list-style-type: none"> • the applicant's dean or, if applicable, head of school or associate dean (appointed by the Vice-Chancellor)
<p>Notes:</p> <p>(a) If the dean or head of school or equivalent is an applicant, the Vice-Chancellor will appoint a senior academic to replace the applicant as a member of the Committee.</p> <p>(b) Academic Board will elect twelve (12) academic staff who will comprise a 'pool' from which the Promotion Committee Chairs will select members for each Committee, each year. Such staff will not necessarily be members of the Board. The pool will comprise:</p> <ul style="list-style-type: none"> • four professors, two of whom will be male and two female • four associate professors, two of whom will be male and two female • four senior lecturers, two of whom will be male and two female <p>Deans will not be eligible to accept nomination for election by Academic Board. The term of the members of the pool will be for three years and members of the pool should serve on a Promotion Committee at least once during that time.</p> <p>A vacancy in the pool of elected members exists where:</p> <p>(i) any of the positions in the pool are not filled at the conclusion of the election process,</p>		

or

(ii) a member of the pool resigns or ceases to be eligible to be a member of the pool.

At any time, there may be one vacancy at each academic level. Where a vacancy as a result of (i) or (ii) above needs to be filled, the Chair of Academic Board will appoint an appropriate candidate to fill the position following consultation with deans.

(c) When a member of the Promotion Committee is unable to attend or continue (once the promotion process has commenced) due to illness or other unforeseen circumstances, a replacement may, where practicable, be appointed by the Vice-Chancellor.

The following may attend Promotion Committee meetings as observers:

- (a) the Director, Equity and Diversity Unit (or nominee)
- (b) the Director, Human Resources (or nominee), and/or
- (c) an academic staff member invited by the Vice-Chancellor to observe Committee processes.

The Director, Human Resources will nominate a Human Resources Unit (HRU) representative to act as executive officer to Promotion Committees.

5.7.2 Promotion Committee process

Promotion Committees may request supplementary information and/or evidence from an applicant, academic supervisor and/or dean. Such information and/or evidence must be provided within the timeframes specified. Any additional information supplied by an academic supervisor or dean will be made available to the applicant for comment.

All shortlisted applicants for promotion to associate professor and professor will be interviewed by the relevant Promotion Committee. The Promotion Committee for senior lecturer promotions will not normally interview applicants but may request an interview as an alternative to seeking supplementary information and/or evidence.

The Promotion Committee will make recommendations for promotion. In the case of promotion to associate professor and professor, if the number of applicants who are recommended for promotion is greater than the quota, the Promotion Committee will rank the applicants.

The Chair of the relevant Promotion Committee will offer to provide feedback to unsuccessful applicants for promotion. The Chair will normally involve the relevant dean and/or academic supervisor in the process of providing feedback to unsuccessful applicants.

5.8 Approval of promotion

The Vice-Chancellor has authority to approve promotions to senior lecturer, associate professor and professor on the recommendation of the relevant Promotion Committee. The Vice-Chancellor's decisions will be made following the seven-day period for lodging appeals (and any other period necessary to hear any appeals received) (refer to section 5.10 for further information about the appeals process).

The Vice-Chancellor will report the promotion decisions to Council.

5.9 Effective date of promotion

The effective date of promotion to each level will be as follows:

Level	Promotions effective beginning of first pay period commencing on or after ...
Senior lecturer	1 July
Associate professor	1 January the following year
Professor	1 January the following year

5.10 Appeals

Applicants may appeal to the Academic Promotions Appeals Committee (APAC) only on the ground of *lack of due process*. The Promotion Committee's assessment on the academic merit of an application is final and will not be the subject of appeal.

5.10.1 Basis for appeal

A *lack of due process* means failure of the Promotion Committee duly to follow the approved procedures outlined in this Directive (excluding section 5.10) in a manner, which, in the opinion of the APAC, affected the Promotion Committee's decision on the application. The obligation to establish failure to follow approved procedures lies with the appellant.

Examples of grounds for an appeal against procedures are:

- (a) whether the Promotion Committee was comprised of members in accordance with this Directive
- (b) whether there is evidence that approved procedures were not followed because there was the possibility a member of the Promotion Committee exhibited bias against an applicant
- (c) whether the Promotion Committee considered all appropriate documentation available to it.

The Promotion Committee is not required to keep a verbatim record of its discussions for the purposes of due process. It is sufficient that the Committee record:

- (a) its membership
- (b) the final determination of the extent to which each applicant was deemed to meet the promotion criteria
- (c) for promotion rounds which use a quota to limit the number of successful applicants and the application of the quota impacted decisions, the rank order in which interviewed applicants met the promotion criteria.

5.10.2 Lodging the appeal

Within seven days of receiving advice of the recommendations of the Promotion Committee, an applicant may lodge an appeal with HRU. The appeal must outline the precise grounds of each and every respect in which it is alleged the Promotion Committee failed duly to follow the approved procedures. All supporting evidence must be supplied no later than the date on which the APAC is scheduled to consider the appeal.

5.10.3 APAC establishment

HRU will convene an APAC for appeals which meet the requirements set out in section 5.10 of this Directive. If it is determined that an appeal lodged by an academic staff member does not meet the requirements set out in section 5.10 of this Directive, then the Chair of a

potential APAC appointed as per section 5.10.3(a) must advise the unsuccessful appellant via email why their appeal application has been dismissed and will not be heard by a APAC.

Membership of an APAC will comprise:

- (a) a Deputy Vice-Chancellor who was not a member of the relevant Promotion Committee or a professor nominated for this purpose by the Vice-Chancellor (Chair)
- (b) a senior administrator nominated by the Vice-Chancellor
- (c) a dean from another faculty appointed by the Vice-Chancellor
- (d) a UTS academic nominated by the appellant.

The Director, Human Resources will nominate a HRU staff member to act as executive officer to the Committee. The nominee of the Director, Equity and Diversity Unit and the nominee of the Director, Human Resources who observed the appropriate Promotion Committee may also attend as observers.

5.10.4 Workings of the APAC

The APAC will be provided with copies of all relevant documentation, including:

- (a) the original completed application form including the academic supervisor's report
- (b) referee reports, and
- (c) the procedures followed by the Promotion Committee in considering the application (ie this Directive).

The appellant will be given the opportunity to make oral representations to APAC and may be accompanied by a UTS colleague. That person may be present only during the interview and may provide support and give advice to the appellant, but may not address or debate before the APAC.

Although it is not required to, the APAC may choose to interview the Chair of the Promotion Committee and/or any other person. The APAC has authority to seek additional information relevant to its terms of reference, but shall not take into account material which was not previously provided during the original application process.

5.10.5 APAC findings and recommendations

After considering the appeal the APAC will advise the Vice-Chancellor of its findings and may recommend appropriate action.

5.10.6 Decision of Vice-Chancellor

The Vice-Chancellor will consider and make a decision upon the recommendations of APAC. This decision will normally be one of the following:

- (a) dismiss the appeal
- (b) determine that the appeal has some basis, but that the nature of the lack of due process was not sufficiently significant to influence the outcome of the promotion decision, and therefore does not warrant changing the original decision
- (c) arrange for the promotion application(s) to be considered by a Promotion Committee, the constitution of which will be decided in each case by the Vice-Chancellor. (This Committee will make a recommendation to the Vice-Chancellor, having regard to any quota established for the promotion round.)

Dependent on the outcome of the decision taken above, the Vice-Chancellor will consider and make a decision on the promotion recommendations in accordance with the provisions of the relevant directive.

The decision(s) of the Vice-Chancellor is final and there is no right of appeal against the Vice-Chancellor's decision(s).

5.11 Support and assistance

Support material and assistance is available to all participants in the academic promotion process. This support may take the form of:

- (a) guidelines for applicants on how to prepare an application and advice on interview preparation
- (b) guidelines and/or assistance for academic supervisors, referees and Committee members (both internal and external) on understanding of their role and application of the promotion process
- (c) advice and career development support from the academic supervisor.

6. Roles and responsibilities

Below is a summary of the primary responsibilities of those involved in academic promotions. The information below does not repeat each and every responsibility referred to in this Directive.

Accountable Officer: The Deputy Vice-Chancellor (Corporate Services) is responsible for managing Directive compliance and initiating the scheduled review process (at least every five years).

Implementation Officer: The Director, Human Resources is the primary point of contact for advice on implementing and administering the Directive, for establishing and maintaining the official files related to applications for promotion and for contributing to the review of the Directive. The review of the Directive will be coordinated by a nominee of the Director, Human Resources.

Applicants

The responsibilities of an applicant include:

- (a) engaging with the performance and development process and discussing plans for applying for promotion with their academic supervisors
- (b) ensuring eligibility requirements are met before applying for promotion
- (c) providing their academic supervisor and dean with sufficient time to review their application and completing the relevant sections of the application form
- (d) submitting the application, including contact details for referees, in accordance with advertised timeframes and requirements set out within the application form and this Directive
- (e) providing information and/or evidence to supplement an application, if requested by the Promotions Committee, and
- (f) making him/herself available to attend an interview for promotion to associate professor or professor and, if requested by the Promotion Committee, for promotion to senior lecturer.

Academic supervisors

The responsibilities of an academic supervisor include:

- (a) providing guidance, information and feedback to staff under their supervision in relation to the timing of their applications for promotion
- (b) engaging with the performance and development process with academic staff under their supervision in accordance with section 5.2 of this Directive, the [Performance and Development — Principles and Procedures](#) (HR Manual 6.5) and related instruments
- (c) reviewing the application and completing the academic supervisor's report in accordance with requirements set out within the application form and this Directive

- (d) providing information and/or evidence to supplement an application, if requested by the Promotion Committee, and
- (e) normally participating in the process of providing feedback to unsuccessful applicants, as required by the Chair of Promotion Committee.

Deans

The responsibilities of a dean include:

- (a) reviewing the application and academic supervisor's report and completing the dean's report in accordance with requirements set out within the application form and this Directive
- (b) reviewing the application and completing relevant sections of the application form in accordance with requirements set out within the application form and this Directive
- (c) acting as a member of a Promotion Committee for deliberations in relation to applicants from his/her own faculty, and
- (d) providing information and/or evidence to supplement an application, if requested by the Promotion Committee, and
- (e) normally participating in the process of providing feedback to unsuccessful applicants, as required by the Chair of the Promotion Committee.

Chair of Promotion Committee

The responsibilities of a Chair of a Promotion Committee include:

- (a) following consultation with the dean, determining whether applications for promotion requests from academic staff with less than two years service will be received
- (b) nominating an external advisor to comment on each application for promotion to associate professor and professor
- (c) ensuring that applications for promotion are assessed by the relevant Promotion Committee in accordance with this Directive, and
- (d) offering to provide feedback to unsuccessful applicants for promotion.

Vice-Chancellor

The responsibilities of the Vice-Chancellor will include:

- (a) handling applications for promotion from academic staff who have been subject to formal disciplinary action or under investigation following an allegation of misconduct or serious misconduct in accordance with section 5.3(e) of this Directive
- (b) approving promotions to senior lecturer, associate professor and professor in accordance with section 5.8 of this Directive
- (c) reporting promotion decisions to Council, and
- (d) considering the findings and recommendations of an APAC and making a decision on the outcome of an appeal in accordance with section 5.10 of the Directive.

Human Resources Unit (HRU)

HRU is responsible for coordinating and managing the promotion and promotion appeal processes in accordance with this Directive.

7. Version control and change history

Date	Version	Approved by	Amendment
19/09/2005	1	Council	

Date	Version	Approved by	Amendment
18/06/2008	2	Council	Rescinded by Council effective from the date of issue of a Vice-Chancellor's operational directive
01/09/2008 (effective date)	3	Vice-Chancellor (01/09/2008)	Renamed as a directive, title changes and reformatting
01/07/2011 (effective date)	4	Vice-Chancellor (27/06/2011)	Merges the content of the Annual Academic Promotion Directive and Guidelines and Appeals Against Academic Promotion Decisions Directive. 'Annual' removed from the name of the Directive. Introduction of greater flexibility within the promotion criteria through 'exceptions to contribution level requirements', updating and clarifying the activities and evidence required to demonstrate achievement for promotion, and minor adjustments to the process.
23/04/2012 (effective date)	4.1	Vice-Chancellor (26/03/2015)	Clarification of the arrangements relating to academic staff representatives on Promotion Committees, the involvement of the relevant dean and/or academic supervisor in the process of providing feedback is included; and other clarification of process matters.
05/06/2015 (effective date)	5	Vice-Chancellor (25/05/2015)	Review of the Directive following the approval of the Education Focused Academic Roles Vice-Chancellor's Directive. Inclusion of section 3 (Definitions). Additional revisions and clarifications to include reference to Academic Benchmark Framework and Leadership Framework, to implement 2014 senior executive restructure (ie SDVC to Provost) and some rewording of the Directive statements. Changes also reflect the inclusion of two professors nominated by the Vice-Chancellor on the Professorial Promotion Committee membership in section 5.7.