



## Academic Promotion Guidelines

This document must be read in conjunction with the following resources:

*Western Sydney University Academic Promotions Policy:*

*Western Sydney University Academic Promotions Website:*

[www.westernsydney.edu.au/academic\\_promotion](http://www.westernsydney.edu.au/academic_promotion)

Applicants are encouraged to contact the Promotions Coordinator if they have any questions about the application process. Email: [promotions@westernsydney.edu.au](mailto:promotions@westernsydney.edu.au)

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## Introduction

Western Sydney University has a single process for all academic promotion applications. Applications are considered by a central Academic Promotions Committee.

Applicants should email their “Intent to apply” to the [Promotion Coordinator](#) at least 6 months prior to the intended application submission. This will initiate a support process for applicants while developing their application. The Promotion Coordinator will confirm eligibility and advise the applicant’s Dean/Director and Academic Supervisor that they intend to apply and will work with the applicant throughout the process.

The University values and seeks to promote academic staff on the basis of their achievements and impact across all domains of an academic work: Teaching and Learning, Research and Scholarship, Engagement, Governance and Service and recognises that the focus of those achievements will be different for different individuals and may change across a career.

It is expected that applicants will demonstrate sustained academic excellence through performance, contribution/impact, and achievement (relative to opportunity) across all three fields of academic practice (unless an exceptional case is made for research only academics for example), for the level for which they are applying. Applicants should demonstrate leadership in all fields. Applicants will have regard to the requirements and expectations as described in the [Position Classification Standards](#).

Western Sydney University has an always-open application process, which means that you can submit your application for promotion at any time during the year. The University’s Academic Promotions Committee will convene at least twice per year to consider applications. The Committee’s meetings and the cut-off dates for inclusion in those meetings will be listed on the University’s Academic Promotions webpage at the start of the calendar year.

If applicants anticipate forthcoming evidence (e.g., grant outcomes, publication updates, Student Feedback on Teaching data) which will strongly support their case for academic promotion, they should submit their application after this supporting evidence has become available. This is facilitated by the University's always open submissions process.

Applicants should note that there may be delays in processing applications when external information is obtained from assessors. This may result in applications being held over to the following meeting of the Academic Promotions Committee.

## The Application Process

The University expects that applicants will demonstrate and substantiate their achievements and impact either:

- over the past five years;
- since the previous promotion, or;
- since commencing with the University (whichever is the shortest period).

An extension of time can be sought and is detailed below in Extension of period for review.

There are two forms to be completed for Academic Promotion:

1. Academic Promotion Application Form, and
2. Academic Promotion Application CV.

Changes to the format of these forms cannot be made. Applications are regarded as complete on submission of these forms. An applicant may not add further material to a submitted application.

Testimonials, feedback, references, and other supporting documentation, aside from those requested by the University (outlined below and listed in the Checklist) with respect to an application, should not be included with the application form or CV and will not be considered by the Committee. This documentation is to be presented to the Dean/Director or Academic Supervisor for referencing in their report.

## **Exemptions to apply early**

All requests for an exemption to apply early for academic promotion should be made on the Application for Exemption – Academic Promotion form, located on the Academic Promotion Website. This form should be lodged with the Academic Promotion Coordinator along with your intent to apply. Approval to apply early must be granted prior to submission of an application for promotion. All requests will be considered by the Chair of the Academic Promotion Committee. The applicant will be notified of the decision via email within fifteen working days of receipt of Exemption Form by the Promotion Coordinator.

Newly-appointed academic staff may wish to be considered eligible for an early application for academic promotion in exceptional cases. This may have been discussed as part of your offer to the University or within a probation discussion with your Academic Supervisor. The Application for Exemption – Academic Promotion form should be completed as part of these initial discussions.

Unsuccessful applicants will normally be eligible to apply after twenty-four months since the last application. In exceptional circumstances, an application will be accepted after only one year. In this instance, intending applicants will provide a written request on the Application for Exemption – Academic Promotion form providing evidence of their achievements since their last promotion application. If satisfied there are compelling reasons to support the application proceeding, the Dean/Director/Academic Supervisor/Discipline Lead will make a case for the Chair of Academic Promotions to consider.

Applicants may not normally apply for promotion within twenty-four months of a successful application, noting that the Committee will base their recommendation on achievements since the last promotion. In exceptional circumstances, however, an application will be accepted after only one year. In this instance, intending applicants will provide a written request on the Application for Exemption – Academic Promotion form providing evidence of their achievements since their last promotion application. If satisfied there are compelling reasons to support the application proceeding, the Dean/Director/Academic Supervisor/Discipline Lead will make a case for the Chair of Academic Promotions to consider.

## **Extension of Application above the five-year cap**

Applicants who have had career interruptions may wish, on the basis of equity considerations, to use an extended timeframe in which to present their Application and CV. Applicants may request up to a maximum of four additional years, for an overall maximum timeframe of nine years. Applicants should seek advice from their Academic Supervisor and/or Dean/Director about this aspect of their application.

Applicants requesting permission to provide information beyond five years from the date of application must submit an Application for Exemption – Academic Promotion prior to the submission of their application. This application for extension should be submitted along with your intent to apply. Upon approval, the application form (including the narrative) and CV, should cover the total years approved for review.

## **Application Guidelines:**

Applicants are strongly encouraged to consult their Dean/Director and/or academic supervisor when preparing their applications. It is strongly recommended that applicants seek a promotion mentor from the list located on the promotion's website or via discussions with Dean/Director and/or supervisor. A mentor from both within your discipline and outside of your discipline area can be of great benefit. Having someone outside of your discipline area read your application is beneficial to ensure that your application is well presented for the Committee noting that members of the Committee come from varied discipline areas.

## **Academic Promotion Application Form**

Applicants must present their overall application as a narrative which supports their case for sustained excellence and achievement, demonstrates leadership and the impact of their contributions relative to opportunity and demonstrates how this constitutes a case for academic promotion.

Applicants must use the Academic Promotion Application Form. Applicants are responsible for ensuring that all information is correctly recorded. Applications which exceed the word limits will not be accepted. Words contained within graphs, statistics and all other visual aids are included in the word counts. Hyperlinks are not to be used within the case for promotion.

The integrated summary statement within the application should include an 'all-of-career' view. Within the case for academic promotion, the Committee shall give primary consideration to the achievements, impact and leadership demonstrated over the past five years, since the previous promotion, or since commencing with the University (whichever is the shorter period). Note, if an extension of timeframe is sought and approved, the application should cover that specific time period.

### **1. Applicant details**

Ensure that every section is completed.

#### **Workload**

Applicants must ensure that they list their workload for each year that is included within the application. This is to be based on approved workload but should be noted as a percentage which totals 100% for each year, irrespective of full time or part time or those with load over 100%. We then ask for an average of these figures over that timeframe, again totalling 100% across the three fields.

**For example:**

Current and past work profiles at Western as a percentage: (display as a total of 100% based on your signed workload agreement):							
Year	2022	Teaching and Learning	40	Research and Scholarship	40	Engagement, Service and Governance	20
Year	2021	Teaching and Learning	30	Research and Scholarship	50	Engagement, Service and Governance	20
Year	2020	Teaching and Learning	30	Research and Scholarship	40	Engagement, Service and Governance	30
Year	2019	Teaching and Learning	20	Research and Scholarship	50	Engagement, Service and Governance	30
Aggregated Work Profile as a percentage: (display as a total of 100% based on your signed workload agreement averaged over the number of years demonstrated within your application – refer to the guidelines for instructions)							
Teaching and Learning	30	Research and Scholarship	45	Engagement, Service and Governance	25		

**2. Integrated Summary Statement**

Applicants should summarise their case in the Integrated Summary Statement. Applicants must address the three Fields of Academic Practice: Teaching and Learning; Research and Scholarship; and Engagement, Governance and Service.

This statement should demonstrate the applicant’s “all-of-career” achievements along with an overall summary of your demonstrated sustained performance to the level of promotion being applied for.

The Summary statement must not exceed the 400-word maximum. Applications that exceed the word limit will be returned for revision. Note: Words within pictures, graphs, footnotes and all other visual aids are included in the word count.

**3. Case for Academic Promotion –Teaching and Learning; Research and Scholarship; and Engagement, Governance and Service**

Applications must address all three fields: Teaching and Learning; Research and Scholarship; and Engagement, Governance and Service. It is expected that applicants will demonstrate sustained performance, contribution, and achievements (relative to opportunity) across all three fields of academic practice (unless an exceptional case is made), for the level for which they are applying. Applicants should demonstrate leadership in all fields. Applicants will have regard to the requirements and expectations as described in the [Position Classification Standards](#) of the current University Academic Staff Agreement.

It is acknowledged that there are different career trajectories, strengths and specialisations.

Each field within the Case for Academic Promotion must be addressed with a minimum of 200 words. The overall word count for all three fields of academic practice is 1,500 words. This ideally allows 500 words for each field. Applications that exceed the word limit will be returned for revision. Note: words within pictures, graphs, footnotes and all other visual aids are included in the word count.

The achievements covered in these sections should be informed by key University strategic plans and relate to your School/Institute/Division priorities.

### 3a. Achievements in Teaching and Learning including Leadership in Teaching and Learning

Applicants must discuss the quality and impact of their teaching and student learning, with evidence that demonstrates some of the following:

- a. Sustained impact on student learning, student engagement and success or the overall student experience.
- b. Creativity, innovation or contemporary teaching practice; curriculum design; curriculum innovation and development, its delivery or assessment and evaluation and attainment of the graduate attributes.
- c. Leadership in teaching and learning where evidenced impact has broad influence on the University, profession or discipline, and/or the overall academic, social and cultural experience of higher education.
- d. Inclusion of HDR supervision, quality of supervision recognised/measured.
- e. Engagement and application of scholarship and continuous professional learning, with recognition from colleagues, the University, and/or the broader community.

#### Engaged Teaching<sup>1</sup>:

Engaged Teaching begins with the teacher's recognition that the learner is an authentic party in the learning process. This leads to a flow of positive interest and active involvement in the learner's creation of knowledge and intellectual progress. Although Engaged Teaching originates with the instructor, it cannot be fully developed unless there is a reciprocal relationship, in which the learner recognizes the benefits of cooperation, advantages of sharing, and the potential for synergism in the learning endeavour (Active Learning).

Active learning<sup>2</sup> is any approach to instruction in which all students are asked to engage in the learning process.

Applicants should use and contextualise their achievements using a variety of sources, including student performance data (e.g., retention, progression, grade distributions, analytics), student satisfaction/experience surveys (QILT, SES, ESS, and SFU/SFT data), and application of teaching practice or curriculum quality assurance and enhancement activities (e.g., peer observation, peer review) with input from both internal and external resources to the University. Engaging in

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<sup>1</sup> Engaged Teaching The Models of Engaged Learning and Teaching : [John Willison](#). **Published:** 9th October 2020 **ISBN:** 9781013277146 **Number Of Pages:** 156

<sup>2</sup> Bonwell, C.; Eison, J. (1991). [Active Learning: Creating Excitement in the Classroom AEHE-ERIC Higher Education Report No. 1](#). Washington, D.C.: Jossey-Bass. [ISBN 978-1-878380-08-1](#).

teaching and learning leadership and application of aligned professional learning activities through participation or contribution, should be used to evidence impact on the University, or community of practices, grant success, publications, awards, fellowships and speaking invitations.

Applicants including Indigenous teaching and learning within their narrative should discuss Indigenous scholarship, partnerships or collaborations with Indigenous scholars or community members, or other indigenous perspectives included in the teaching and learning.

The Promotions Coordinator will attach the following supporting documents after submission:

- SFU reports where the applicant is the Subject Coordinator.

Further information on evidencing quality teaching and learning is available at [Learning Futures-evidencing your teaching practice](#). Note: SFT reports are provided to academic staff at the end of each teaching period, but additional copies can be requested through Competitive Intelligence & Analytics via [surveys@westernsydney.edu.au](mailto:surveys@westernsydney.edu.au).

### 3b. Achievements in Research and Scholarship including Leadership in Research and Scholarship

Applicants must discuss their key research and scholarly achievements. This should highlight their most significant contributions to knowledge in their own and other disciplines or sub-disciplines. It should outline the research output, such as publications (including non-traditional research outputs), particularly demonstrating the quality and peer recognition of their research achievements, relative to their discipline standards. They should also focus on the engagement of their research and scholarship with any of the following: industry, government, not-for-profit organisations, Indigenous organisations and other community organisations, as well as the social and cultural, economic and/or environmental impact of their research. Their role in securing funding for research should be outlined, as well their role within the projects. Where relevant, applicants should also discuss their leadership in research and scholarship.

Research engagement concerns the production of knowledge where there is a purposeful intention at translation of that knowledge for social, health and economic betterment. These real world benefits include, but is not limited to reformed law, regulation and policy, improved social, health and economic wellbeing, commercialisation and other forms of end-user uptake. Successful outcomes require stakeholder engagement in the early stages of research design.

Applicants applying on the basis of Indigenous research should discuss the use of Indigenous research methodologies, Indigenous community partnerships and collaborations and the related benefit to Indigenous communities as outlined in the Australian Institute of Aboriginal and Torres Strait Islander Studies or National Health and Medical Research Council Indigenous ethical guidelines.

Applicants should review, update and contextualise their *Researcher Activity Statement*, as needed. Data not accurately updated within this statement may not be included within the CV document. This Statement is provided as a part of your overall promotion application submission.

Notes:

HDR Supervision should be discussed within the Teaching and Learning field of practice. The *Researcher Activity Statement* draws on information from the online Research Services Researcher Portal, but presents it in a more detailed, 'at-a-glance' format. Applicants can now obtain their Research Activity Statement via the Research Portal. Please review the information displayed within the Research Activity Statement and on the Research Portal and email the Research Data Team if you have any questions or if you feel that any of your Research Activity is missing from the report. You can reach Research Data Team via email: [ResearchData@westernsydney.edu.au](mailto:ResearchData@westernsydney.edu.au).

The Promotions Coordinator will attach the Research Activity Statement after submission.

### 3c. Achievements in Engagement, Governance and Service

Academics should discuss their contributions to, and achievements in, engagement, governance and service in their discipline, profession, School/Institute, University or professional community. Western recognises that engagement takes many forms depending on the goal of the work. This can include, relationship building, access to cultural activities, student work placements in local organisations and formal collaborations for teaching and learning and or research. Engagement, Governance and Service achievements may be individual or collaborative in nature. Formal and informal pastoral care, mentoring and other forms of service contributions may be included. Engagement, Governance or Service that contribute to outcome of the WSU Indigenous Strategy, school Indigenous strategies or relevant decadal strategies may also be included. Academics should detail the nature of the contributions they have made, and the outcomes and impact of those contributions. Applicants should discuss the roles they have held and make clear what impact and leadership they have had on these activities.

Where relevant, successful entrepreneurial activities on behalf of the University and consulting projects which have an engagement focus, should be included within the CV.

### 4. Independent External Assessor Reports (Level C, D and E only)

Level C applicants will have one external assessor. Level D and Level E will have up to three external assessors.

The applicant may advise of any potential assessors they prefer not to be nominated as an independent external assessor in their Application Form. Applicants must provide a short, written justification for any such requests. The Promotions Coordinator must forward any such requests to the Dean/Director and Discipline Leads for their consideration in nominating independent external assessors.

### 5. Three Significant Scholarly Works (Levels D and E only)

Applicants to Levels D and E must include three significant scholarly sole authored or collaborative works with their application. Applicants should indicate within the application the importance and impact of these works, the significance of the work to their discipline nationally and internationally, their role and their percentage contribution. Significant works may relate to teaching and learning, or research activities and may include books, journal articles, chapters, reports, policy documents, accreditation submissions and reports, and creative works.

It is recommended that at least two of the three works should be within the last five years, or since the last promotion. These significant works will be forwarded to the independent external assessors for review.

The significant works must be submitted with the application either as:

- a single electronic copy of each significant work (preferred); or
- three hard copies of each of significant work.

## 6. Equity Considerations

Applicants may include on their Application Form a statement (*maximum 250 words*) on any relevant personal circumstances and their career impact. Assessing merit relative to opportunity enables recognition of an individual's achievements given the opportunities available to them. This allows fairer consideration of the overall quality and impact of achievements by applicants given their personal circumstances and the related effect on overall time available, momentum, rate of productivity, and capacity to participate in certain activities. This holistic approach enables assessors to undertake a more nuanced and contextual evaluation of achievements over the defined period, without placing emphasis on the quantity or rate of achievements

The statement should focus on the shortest of the following timeframes: past five years, the period since last promotion, or the period since appointment at the University (unless an extension of time has been approved). The statement will facilitate the assessment of achievements relative to opportunity.

Examples of factors applicants may wish to highlight include, but are not limited to:

- family or caring responsibilities (for example, primary carer for children, elder-care, illness of a partner or dependant);
- career breaks related to extended parental or carer leave;
- a temporary or permanent disability, or chronic medical condition (for example, a visual impairment or mental illness);
- relevant cultural expectations or circumstances (for example, the extent to which cultural norms and expectations support education and employment opportunities for women);
- periods of part-time work (for example, returning to work after the birth of a child); and/or
- absences due to ill health or injury (for example, recovering from a major operation);
- other relevant life events as relevant including but not limited to incidents of domestic and family violence, significant relationship breakdowns, end of life care or the death of a family member.

Applicants are not required to describe specific details about sensitive issues. The statement should focus on the impact of personal circumstances on career trajectories and achievements relative to opportunity.

Applicants submitting a personal statement should provide supporting documents, if available. This documentation will only be provided to the Equity Observer, and if requested, the Chair. We commit to respecting the privacy of applicants who do not wish to disclose information on their circumstances within assessment documentation. Applicants can be assured that information disclosed will:

- Only be used for the purposes of assisting in the assessment of the applicant's performance and achievements;
- Be kept confidential.

### Natural Disasters or Global Events and COVID-19 Considerations (Optional)

The University acknowledges the possible impacts that natural disasters, global events and pandemics have had on its staff. Please outline any natural disaster, global event or COVID-19 considerations of significance which are relevant to your application and academic opportunities. Describe the impact these considerations may have had on your academic development and progression along with the timeframe of this event.

Below are examples of circumstances that could result in altered outcomes due to such impacts. This is not an exhaustive list but may be considered when evaluating staff productivity and achievement during the pandemic, natural disaster or global event impact period.

- COVID-19 considerations may include:
  - transition to remote teaching and learning, changes in workloads to focus on teaching and governance roles in response to COVID-19,
  - the loss of access to research resources and recognition of increased pastoral care and peer support,
  - shifts in household labor, childcare, eldercare, exacerbation of your own medical condition/s because of COVID-19 circumstances, and physical confinement.
- Interruptions due to natural disasters, global events and pandemics may include:
  - university or industry shutdowns and loss of access to infrastructure,
  - cancellation or postponements of research agreements with research partners,
  - carer responsibility for children learning from home,
  - carer responsibilities for ill children, ill or elderly parents or ill family members,
  - personal ill health or ongoing condition deemed high risk and hence required extended social distancing measures,
  - financial distress and hardship through loss of family business and/or income,
  - valued expertise, where research is redirected to pandemic or natural disaster specific research,
  - state and federal duties such as Army Reserve or State Emergency Services,
  - family related impacts related to natural disasters or political unrest of conflict,
  - travel restrictions impeding research progress and collaboration.

### Achievement Relative to Opportunity

Assessing achievements relative to opportunity involves evaluating the quality and impact of the staff member's achievement having regard to the applicant's career stage and trajectory and taking into consideration the impact of relevant personal circumstances. This supports appropriate evaluation of achievements in relation to productivity, the ability to participate in certain types of activities, and the consistency of activities or output over the period of consideration.

Applicants applying for academic promotion are encouraged to articulate their relevant personal circumstances in their promotion application to enable the assessment of their achievements relative to opportunity.

In applying achievement relative to opportunity, we prioritise:

- the level and conditions of appointment (including the nature of the academic work profile and employment type),
- the quality and impact of the person's work,
- outcomes given the time and/or resources available to the person, and
- any ongoing impact on achievement related to the person's circumstances.

A person's opportunities may be impacted by a range of circumstances. We encourage staff to articulate these circumstances to enable the University to accurately assess achievement relative to opportunity.

Following are examples of circumstances that could result in a different pattern of success. This list is not exhaustive.

- Significant career interruptions due to:
  - long parental leave, long service leave and extended periods of sick leave;
  - impairment, disability or medical conditions, domestic and family violence;
  - a relationship breakdown;
  - personal trauma, for example, bereavement;
  - insecure employment;
  - significant cultural or religious obligations.
- Periods of part-time employment and other flexible work arrangements such as:
  - part-time employment and other flexible working arrangements to accommodate carer responsibilities, for example, caring for children or elderly parents.
- Non-traditional patterns of achievement. Atypical career experiences such as:
  - a later start to academia;
  - changes in discipline focus;
  - industry engagements that require confidentiality of authorship.
- Cultural, service or representation commitments. The impact of:
  - service/committee commitments of staff from under-represented groups, for example, academic women in STEM, Aboriginal and Torres Strait Islander staff;
  - Aboriginal and Torres Strait Islander staff cultural obligations/commitments;
  - high service/administrative obligations (for example, due to Head of School appointments and other heavy 'service'/leadership positions).
- The ability of the person to participate in relevant activities that typically influence progression, output or regard. For example, the inability to travel nationally or internationally due to:
  - health, carer responsibilities, pregnancy, breastfeeding or financial circumstances;
  - travel bans related to citizenship or other factors.
- Impact of major international, national and local events. Previous or current (Western or other) University or industry shutdowns due to:
  - pandemics;
  - natural disasters;
  - war or political unrest.
- Other temporary or ongoing circumstances that could impact on performance, such as:
  - impacts of a permanent or temporary disability (including related to physical and mental health);
  - language barriers experienced by people from a non-English speaking background.

The impact of these personal circumstances can be evident in the following areas:

- publication record;
- number of classes taught;
- fieldwork activities;
- conference and seminar participation, or attendance in other opportunities in different geographical locations;
- maintaining networks of research contacts and research collaborations;
- track record of securing funding;
- modified research methodology;
- supervision of staff or students;
- committee, working party or accreditation panel membership; or
- other activities and outputs specific to an individual.

## **Academic Promotion Application CV**

Applicants must present their Application CV in the standardised format provided. All information should commence with the most recent activity, that is, in reverse chronological order.

All information should be capped at the five-year mark; that is, do not include information more than five years old (except where the applicant has an approved timeframe extension of time to the five-year Application cap).

### **Staff Member Details and Full Employment Summary**

Applicants must provide their staff member details and employment summary, following the headings provided in the Application CV. This section requires all of career detail and is not capped at five years.

### **Teaching and Learning information**

Applicants should provide accurate details of all applicable achievements and leadership in Teaching and Learning as per the sections noted in the Application CV document, including:

- undergraduate and postgraduate subjects and or programs taught or led, including role, years of involvement and volume of teaching in subjects;
- internal and external teaching and learning related committee participation including years of involvement;
- HDR student completions (including Honours students);
- theses examined;
- relevant professional development activities; community of practices, and scholarship in teaching and learning including Non-Traditional Research Outputs; and esteem indicators e.g: ARC reviewer, promotion reviews from other universities, AAUT assessors, textbook reviews, education conferences key note presentations, or relevant professional bodies membership e.g: HERDSA.

## Research and Scholarship

Applicants should only include any research and scholarship information which is NOT found in their *Research Activity Statement*. This may include for example keynote and plenary addresses to high profile conferences and symposia, noteworthy editorial roles, as well as awards, medals and prizes. **Applicants however should update their information with Research Services as the final Activity Statement will be issued with the finalised application.**

The *Researcher Activity Statement* includes:

- External Research income summary;
- External Research grant summary;
- Publications summary;
- Publication details;
- Field Weighted Citation Impact (FWCI);
- HDR load and completions;
- HDR lead and HDR co-supervisor;
- Grant application details (internal and external by category);

Aspects that the *Research Activity Statement* DOES NOT include should be added to your CV, for example

- Vice-Chancellor Gender Equity funding;
- ARC/NHMRC reviewer;
- Commercialisation activities.

## Engagement, Governance and Service

Applicants should provide accurate details of all applicable activities; the role the applicant has had and outcomes as per the sections noted in the Application CV document, including:

- Community Engagement activities with wider communities, government and organisations;
- Service to School/Institute, including committee activities and achievements;
- Service to the University;
- External service to the Profession/Discipline/Industry, eg editorial boards, positions in professional organisations;
- Pastoral care/collegiality/collaborative practice (formal and informal mentoring, peer support, student support and collaborative leadership).

Applicants should include any additional engagement information (approved and conducted in line with University policy) which is not currently found in their [Tracking and Improving Community Engagement \(TICE\) database](#) report. The TICE database is currently under review for 2022.

## Supporting documentation:

There are a number of supporting documents (outlined in the checklist at the end of this document) which form part of the application for Academic Promotion. Where supporting documents or reports are centrally available within the University, these will be collated and attached to submitted applications by the Promotions Coordinator.

## Teaching and Learning:

The Promotions Coordinator will draw on the applicant's subjects taught to collate the SFU Reports for the application. These reports will be selected where the applicant has indicated subject coordination roles.

### *Research and Scholarship*

The Promotion Coordinator will provide a final copy of the applicant Research Activity Statement which includes the publication record.

### *Engagement:*

Note: The TICE database is currently under review for 2022.

All other forms of supporting documentation not listed within the below checklist should be sent to the relevant Dean or Director for their sighting and review as part of the Dean/Director report. This material must be made available to the Promotion Committee if requested, noting that this is not automatically provided to the Committee. If these other forms of supporting documentation are submitted within the application or CV they will be removed.

Prior to commencing their application, applicants are encouraged to review and update their [Researcher Activity Statement](#) from Research Services, and review their available student feedback reports to aid in the development of their written application.

All works cited in Academic Promotions applications, including but not limited to research, engagement, consultation and entrepreneurial activities, must be approved, conducted and recorded in accordance with University practices.

## **Submission of Application:**

Applicants must submit their application as a word document by email to the Promotions Coordinator. Acknowledgement of the application should be received within five working days. The Promotion Coordinator will check the application documents and will proceed to collect any required supporting documentation and verify these documents with the applicant before obtaining the required reports below.

## **Reports to accompany applications**

The Promotions Coordinator will request several reports that will be added to the applicant's application. These include a report from the relevant Dean/Director and Academic Supervisor, and independent external assessors (for Level C, D & E applicants only) and the DVC Indigenous Leadership (or nominee) where appropriate. A full copy of the application including all supporting documents will be provided when requesting these reports.

## **Deans/Directors Reports**

The Dean/Director and Academic Supervisor must submit a recommendation report on the required template to the Promotions Coordinator, within 20 working days of the request. The Dean/Director will also provide a disciplinary statement in conjunction with the Discipline Lead that is relevant to the applicant's nominated discipline.

The Dean/Director or Academic Supervisor must inform the Academic Promotions Committee Chair, via the Promotions Coordinator, of any actual, potential or perceived conflicts of interest, and in those circumstance must recommend a delegate, to complete this report, for the Chair's approval.

In completing their report, the Dean/Director must:

- read the application in full;
- consult with the applicant's Academic Supervisor in preparing the recommendation report;
- verify the application and supporting documents (submitted directly by the applicant and confirmed as submitted by the Dean);
- comment on the veracity, relevance and merits of the application and supporting documents;
- reflect on workload and any potential influence of this towards the applicant's period of time being assessed;
- include the comments of the Academic Supervisor;
- co-sign the recommendation report together with the Academic Supervisor.

Once completed, the Promotions Coordinator will forward the Dean/Director recommendation report to the applicant for their information. Applicants have a right of reply to this report but should confine their response only to matters raised in the report. No new data or evidence may be included in this response. Applicants who wish to provide a response must submit a word document to the Promotions Coordinator within seven working days of receipt of the recommendation report. This response will be forwarded to the Dean/Director for noting.

## **DVC Indigenous Leadership Reports**

The DVC Indigenous Leadership (or nominee) will provide a report for those applicants who have identified as Aboriginal or Torres Strait Islander, or applicants who have indicated on their application form that they have included aspects of the Indigenous Strategy within the narrative of their application.

This report will provide guidance and context to the Promotions Committee for their consideration of the application. This report will remain confidential. The report must be submitted on the required template to the Promotions Coordinator within 20 working days of the request.

## **Independent External Assessor Reports**

(Level C, Level D and Level E Only)

The Dean/Director of the applicant's School/Institute with support of the relevant Discipline Lead and Academic Supervisor will nominate independent external assessors with expertise in the relevant discipline, ensuring no conflicts of interest. The Promotions Coordinator will organise independent external assessor reports.

The relevant Dean/Director, in consultation with the Discipline Lead and the Academic Supervisor must:

- consider any requests from the applicant in their application regarding potential assessors they prefer not to be nominated;
- not confer with the applicant in any other way regarding the nomination of assessors, these nominations are confidential;
- nominate a pool of at least five experts for applicants to Level C and ten experts for applicants to Level D and Level E to act as independent external assessors, in order of preference;

- provide the complete list of nominees to the Promotions Coordinator within five working days of receipt of the request.

For Level D and Level E applicants, the pool of assessors must include at least three international assessors, noting that at least one international assessor will be selected from the pool.

The pool of nominated independent external assessors must:

- each be experts within the relevant discipline at full professorial level and with a significant publication track record, or recognised as distinguished leaders in their field;
- each be of national or international standing;
- be free of any actual, potential or perceived conflict of interest such as:
  - a. co-published with the applicant;
  - b. worked on a research grant with the applicant;
  - c. supervised the applicant as a PhD student, co-supervise with, or have been supervised by the applicant;
  - d. a close personal relationship or association; or
  - e. common business interests or other conflicts of interest.
- include a mix of genders; and

The Chair of the Academic Promotions Committee must approve the list of nominated independent external assessors, The Chair may disallow any nominated independent external assessors at their discretion.

The Promotions Coordinator will send independent external assessors:

- an invitation to provide an independent assessment report;
- copies of applicant's three significant works (where appropriate);
- guidance regarding the report format;
- a copy of the complete application, including CV and any other supporting documents, excluding the Dean/Director report. Independent external assessors are requested to return their reports to the Promotions Coordinator within 15 working days of receiving the documentation.

The names and reports of independent external assessors are confidential and will not be forwarded to the applicant at any stage of the process, including after the outcome of the application is known.

## **Level D and Level E Applicants only: Interviews**

Applicants for promotion to Level D and E will be invited to a short interview (approximately 15 minutes in duration) at which more detail of their application, achievements and future plans may be explored by the Committee. This interview can be held in person or via Zoom. There are no set questions, each application and interview are unique. It is strongly recommended that applicants work with their colleagues within the Schools, Divisions and Institutes on mock interviews as part of the preparation for the promotion interview.

## Academic Promotions Committee

The Academic Promotions Committee will consider all applications for promotion from Level B to Level E. The Committee will be chaired by either, the Senior Deputy Vice-Chancellor, the Deputy Vice-Chancellor and Vice-President, Academic or the Deputy Vice-Chancellor and Vice-President, Research, Enterprise and International. All Committee members will be present at the meeting and must have completed appropriate training prior to meetings being held.

The Vice-Chancellor and President, in consultation with the Senior Deputy Vice-Chancellor and Provost, Deputy Vice-Chancellor and Vice-President, Academic and the Deputy Vice-Chancellor and Vice-President, Research, Enterprise and International, will review and appoint the membership of the Academic Promotions Committee annually, prior to the cut-off date for the first meeting of that calendar year.

## Committee Membership

The Academic Promotions Committee will consist of:

- a Senior Deputy Vice-Chancellor and Provost or Deputy Vice-Chancellor and Vice-President (Chair);
- Deputy Vice-Chancellor and Vice-President, Research Enterprise and International or Pro Vice-Chancellor, Research. relevant position dependant on position of Chair;
- Deputy Vice-Chancellor and Vice-President, Academic or Pro Vice-Chancellor, Learning Futures. relevant position dependant on position of Chair;
- Pro Vice-Chancellor, Engagement and Advancement;
- Chair, Academic Senate;
- three Professors drawn from an internal pool, with one representative from each Cluster;
- one invited external academic drawn from an external pool; and
  - Deputy Vice-Chancellor, Indigenous Leadership (or nominee) present for relevant Indigenous Applications.

The internal and external pools of academics are considered independent members of the Academic Promotions Committee. Their role is to provide insights and advice across the three fields of academic practice. Ex officio members of the Committee have the same voting rights as members drawn from the internal and external pools. Deans/Directors must not be members of the Academic Promotions Committee.

The membership of Promotions Committee will have regard to gender and disciplinary balance. There is no requirement that all disciplines be represented on the Committee.

The Manager Indigenous Employment may attend as a non-voting observer and provide advice as needed to the Committee for those applicants who identify on their application as Aboriginal or Torres Strait Islander.

The Director, Equity, Diversity and Wellbeing (or nominee) may attend as a non-voting observer, and provide advice at the request of the Committee, in addition to providing guidance to the Committee as to the significance of any equity claims made within the application. They will raise any concerns regarding procedural matters during a Committee session, or in a written report within two working days of the meeting.

Where a member of the Academic Promotions Committee is no longer available to participate:

- ex officio members may only be replaced by persons officially acting in that role;
- the Chair of the Promotions Committee may replace a member from the internal or external pool with another person from the same pool, having regard for gender and disciplinary balance.

Where a member of the Promotions Committee is the Academic Supervisor of an applicant, they must declare their conflict and remove themselves from the discussion, and interview if relevant, relating to that application. Any members of the Committee who may have mentored an applicant will declare this conflict to the Committee.

Where a member has prior knowledge of an applicant, advice should be sought from the Chair before introducing any prior knowledge of an applicant as it may be out of date, be atypical or highly subjective and overly advantage or disadvantage particular applicants.

Members of the Academic Promotions Committee will normally serve as members of the Committee for a period of 12 months and are eligible for re-appointment.

### Committee Training

The Promotions Coordinator will provide Committee members with orientation in the guidelines and practices of the Academic Promotions process. All members on a promotions committee will have undergone appropriate bias training within the previous three years to mitigate any risk of bias or apprehension of bias in their deliberations.

## Committee Determination

The Promotions Committee must consider each application and all associated documentation before making a determination about recommendation for promotion. Members of promotions committees will act fairly and without bias.

The applicant must not contact any members of the Academic Promotions Committee to discuss their application, either during or after the applications process. Feedback will be provided by the Chair of the Academic Promotion Committee.

### Committee Assessment of Achievements – Relative to Opportunity

In making an assessment, the Committee should give appropriate consideration to the disclosed circumstances, working arrangements or career histories and the effect they can have or have had on overall time available. Appropriate consideration can then be given to:

- The rate of productivity;
- The opportunity to participate in certain activities; and/or
- The output produced over a defined period.

Assessing achievement relative to opportunity involves considering productivity relative to the actual time and specific opportunities available to the individual while maintaining a focus on pertinent performance standards, especially those relating to the quality and impact of the work. In this way, the candidate can be assessed on an individual basis in terms of how well they meet the relevant expectations and not on a comparative basis with other individuals in the pool, where the tendency may be to privilege the person with the “most merit”.

Assessing achievement relative to opportunity does not mean “expecting less” of the staff member/candidate. Quantity, rate, consistency and breadth of activities are seen as reflecting amount of time available and not necessarily or only talent, merit and excellence. It means placing a greater emphasis on the quality and impact of the work that the candidate has produced and is capable of producing, rather than the quantity and rate at which it is produced.

### **Committee Recommendation**

The Academic Promotions Committee provides recommendations regarding promotion applications to the Vice-Chancellor and President. Recommendations of the Academic Promotions Committee must be made by a majority of the Committee (excluding the Chair). If there is a hung decision, the Chair makes the deciding recommendation.

The Vice-Chancellor and President decides the final determinations about promotions applications, after considering the recommendations of the Academic Promotions Committee.

### **Committee Reporting**

The Academic Promotions Committee will provide a written report to the Vice-Chancellor and President after each meeting, clearly recommending the successful and unsuccessful applications.

The Vice-Chancellor and President will report annually to the Academic Senate including the following:

- the names (and positions held) of the members of the Promotion Committee;
- the number of applicants in each round;
- the number of promotions approved (with breakdown by gender);
- names of successful applicants and their level of promotion; and
- the number of appeals and outcomes.

### **Applicant Notification**

The Promotions Coordinator will notify each applicant in writing, via email, about the outcome of their application within ten working days of the Vice-Chancellor and President's decision.

Promotions for successful applicants will come into effect twice a year (1 January and 1 July) following their successful application, and subject to the Dean's or Director's confirmation that the applicant has:

- participated constructively and in good faith in the Academic Performance Planning and Review Process in the previous twelve months; and
- has a current, signed workload agreement.

### **Applicant Feedback**

Applicant feedback will be provided verbally in an information and advisory basis by the Chair of the Promotion Committee. It is highly recommended that the applicant's Dean/Director or academic supervisor is present for this feedback discussion. Written feedback will not be provided to applicants.

Overall applicant feedback will be provided to the Dean/Director for applicant career development purposes.

## Appeals

Appeals must refer to the Promotions process and cannot be based on advice received after notification of the result.

Unsuccessful applicants are to seek feedback from the Chair of the Promotion Committee prior to submitting an appeal.

To appeal the outcome the applicant must:

- submit their appeal in writing to the Chief People Officer, within 20 working days of receiving the decision notification; and
- specify the procedural grounds on which the appeal is made.

The Chief People Officer will assess each appeal case.

- Where the Chief People Officer determines that there has been no procedural failure, or that any failing had no material effect on the decision, the Academic Promotions Coordinator must notify the applicant and the Academic Promotions Committee Chair in writing that the decision is upheld.
- Where the Chief People Officer determines that there has been a failure to comply with the requirements of the Policy or Guidelines that has had a material effect on the decision, the Chief People Officer must forward their recommendation in writing to the Vice-Chancellor and President.
- The Vice-Chancellor and President must either:
  - determine that the decision is upheld. The Academic Promotions Coordinator must notify the applicant and the Academic Promotions Committee Chair in writing that the decision is upheld; or
  - determine that the decision is overturned. Where a decision is overturned, the Academic Promotions Coordinator must notify the applicant and the Academic Promotions Committee Chair in writing. The application will be put to the next meeting of the Promotions Committee for reconsideration as per the standard timeline.

## Out of round promotion for exceptional cases

A Dean/Director who considers there are exceptional circumstances warranting out-of-round consideration of a promotion application may make a recommendation for such consideration to the Vice-Chancellor. The recommendation and application must include a statement outlining:

- nature of the role currently being undertaken by the academic staff member;
- strategic importance of the staff member to the School/Institute/University
- rationale for retention of the staff member;
- exceptional circumstances necessitating the use of an out-of-round process rather than the normal promotion round (including evidence of an offer from another organisation, if relevant);
- proposed level of promotion backed up by an assessment of the staff member's contributions against the Position Classification Standards;
- staff member's up-to-date Curriculum Vitae; and
- other material supporting the application.

If the Vice-Chancellor agrees that the recommendation/application warrants consideration, it must be considered and determined by a committee consisting of:

- a Deputy Vice-Chancellor who is also the current Chair of Academic Promotions
- a Pro Vice-Chancellor, appointed by the Vice-Chancellor, and
- two academic staff members of the relevant or a higher level promotion committee from either the current or a previous round promotion Committee, appointed by the Vice-Chancellor.

The committee will consider the recommendation/application on its academic merit and the strategic significance of the staff member's contribution to the University, and make a determination that:

- the staff member be promoted, or
- the staff member is not promoted, but recommend they be paid a retention allowance, or
- no change be made to the staff member's remuneration and academic classification level.

A determination of the committee is final. The effective date of any promotion determined under this process will be the first pay period commencing on or after the date of determination.

## Document Preparation/Checklist

<b>Academic Promotions documents</b>	<b>Action Owner</b>	<b>Required</b>
Application Form	Completed and submitted by applicant	Yes
Application CV	Completed and submitted by applicant	Yes
Student Feedback on Teaching (SFT) reports	Collated and submitted by applicant	Yes
Student Feedback on Units (SFU) reports	Collated by the Academic Promotion Coordinator	Yes
<i>Researcher Activity Statement</i> (via Research Services)	Final copy provided by the Academic Promotion Coordinator	Yes
Copies of three significant works (Levels D & E only)	Collated and submitted by applicant	Yes (D&E only)
Documents in support of all equity consideration	Collated and submitted by applicant	As applicable
Dean/Director Reports	Organised and collated by the Academic Promotion Coordinator	Yes
List of potential assessors (Level C, D & E only) and External Assessor reports	Organised and collated by the Academic Promotion Coordinator, completed by Dean/Director	Yes (C, D&E only)
Any other supporting documentation, references, feedback, etc	Collated and submitted to Dean/Director for sighting and review towards the Dean Report by the applicant	Not sent to Committee